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ABSTRACT

This kit on resource allocation in academic and research libraries contains nine primary source documents and a concise summary of a 1976 Association of Research Libraries (ARL) survey on management of fiscal spending activities in ARL libraries. Based on responses from 70 libraries, the summary discusses 3 specific subjects within the general topic of resource allocation in libraries: strategic approaches to financial retrenchment; procedures used by research libraries to make fundamental allocation decisions; and areas where libraries are experiencing significant allocation reductions. The source documents include: (1) reports on the impact of no-growth budgets from Dartmouth College, Pennsylvania State University, and Arizona State University; (2) reports on implementing budget cuts from Rutgers University and University of Washington; (3) procedures for resource allocation from University of Wisconsin-Madison ("Internal Procedure for Determining Allocation of Funds for Library Resources in the General Library Systems" and "Allocation of Book Funds"), and University of Hawaii; and (4) a report on external fund-raising from University of Pittsburgh. (THC)

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Allocation of Resources

Kit 31

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March, 1977 No. 31

Systems and Procedures Exchange Center

ALLOCATION OF RESOURCES IN ACADEMIC LIBRARIES

The 1970's have been a difficult time for academic and research libraries. Budgets have stabilized at the same time that costs of library materials have spiraled at an alarming rate, and library salaries continue to account for upwards of 60 percent of budgets. This situation led to a November, 1976 SPEC Survey on Management of Fiscal Spending Activities in ARL libraries. Based on the response of 70 libraries, this Flyer deals with three specific subjects within the general topic of resource allocation in libraries: strategic approaches to financial retrenchment; procedures used by research libraries to make fundamental allocation decisions; and areas where libraries are experiencing significant allocation reductions. Future Flyers will deal with other aspects of the budgeting process.

STRATEGIES FOR DEALING WITH REDUCED BUDGETS. Sixty libraries responded to a question on strategic approaches for dealing with inadequate budgets. Eighteen (33%) made selective budget cuts according to some specific criteria. Another 18 (33%) combined that strategy with the active solicitation of user support obtained by developing descriptions of the probable impact on library services and resources of reduced budgets. Only one library reported total reliance on applying across-the-board cuts, and only four relied entirely on resistance and political pressure. The remaining libraries used various combinations of these strategies, or reported no budgetary problems.

The data and comments from this section of the survey indicate that most ARL libraries are part of educational institutions that are facing serious financial difficulties and are competing for very limited resources. Faculty members who were formerly allies of the library are now competitors who must weigh the possible loss of junior faculty against the diminution of library collections. The comments on the survey show that libraries recognize they are partners in the management of decline. And while most academic libraries are making strong efforts to explain to university administrators and faculty that historical collection strengths cannot be maintained and that short-term damage to the collection is likely to be permanent, these efforts are not increasing the pool of available money. Libraries are shifting to new strategies that accept the reality of reduced purchasing power. Library administrators are involved in clarifying priorities and allocating funds to the maintainence of the most critical collections and services. In most academic libraries some programs are being eliminated or substantially reduced when they are judged to be other than highly beneficial.

ORGANIZATIONAL PROCEDURES FOR RESOURCE ALLOCATION. As the decisions around resource allocation have become more difficult, library directors have turned increasingly to their staffs for support and assistance. Forty-six (67%) reported that basic decisions were made with library department heads; 30 (44%) collected information from staff members on the impact of possible reductions on individual library units and departments. Ten libraries (15%) conducted user surveys to determine the relative importance of various library programs and seven (10%) libraries formed staff committees to prepare reports recommending where cuts should be made. Perhaps surprisingly, only four responded that they had

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consulted with their faculty library committees on where cuts should or would occur. Several libraries have initiated serials committees to review new serial titles and reduce current expenditures in this area. Other libraries operate budget committees that develop library priorities and allocate funds accordingly. Apparently users have been involved only slightly in these decisions, although undoubtedly much of their involvement occurs informally.

IMPACT OF CURRENT ALLOCATION DECISIONS. Asked to judge where they had applied the most significant reductions, responding libraries named personnel costs as the most substantial, books and monographs second, and serials third. But these three areas had approximately equal impact, and in many cases personnel costs were reduced as a result of reduced acquisitions. Of secondary effect were reductions in physical plant costs, the postponement or cancellation of planned projects such as new departmental libraries or automated circulation systems, and the reduction of user services such as number of library hours or public service staff. The initiation or increase of user fees apparently has had only minimal effect.

Comments on the survey indicated that in the long run, it is the collection that is suffering in the current period of retrenchment. Because of their recent dominance of libraries' materials budgets, serials are attractive targets for cuts and the savings from cancelled subscriptions recur each year. There is also some concern that as libraries' materials budgets become increasingly dedicated to serials the collection can become biased toward the sciences and technology. Three libraries reported that automation programs had produced some savings in the personnel area, but the economic impact of automation seems not to have been significant in most reporting libraries.

FUTURE NEEDS AND TRENDS. Traditional approaches to budget cuts are disappearing from the academic library scene. The emphasis is on educating university administrators and faculty on the consequences of inadequate budgets, while simultaneously developing specific, rational criteria for making necessary reductions. In addition, library administrators are developing new and more formal procedures for utilizing their staffs' perspectives, ideas, and organizational commitment in making these critical, difficult decisions. There is also increased effort at developing cost and use data to support allocation decisions. There is evidence that the opportunity for using this kind of data will increase as more libraries' processes become automated, especially circulation. Another trend is seen in new efforts at external fund-raising, both with foundations and individual donors; but the long-term success of these programs is not yet clear. The development of user fees for some specialized services is likely to continue, as are increased fees for noncampus users, especially at private institutions. But these fees are not likely to have a significant impact on libraries' budgets. For many libraries that impact will come only with a fundamental reordering of their objectives that recognizes they can no longer be all things to all users. Instead, they must choose from among conflicting goals those which they can do well and which will serve their users as well as is realistically possible.

The SPEC Kit on Allocation of Resources in Academic Libraries includes 10 documents totaling 101 pages. It is available to ARL members and SPEC Subscribers at $7.50 and to others at $15.00. The Kit includes documents on the following topics. (Prepayment preferred.)

The Impact of No-Growth Budgets	3 documents
Implementing Budget Cuts	2 documents
Procedures for Resource Allocation	4 documents
External Fund-Raising	1 documents

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REPORT ON ACQUISITIONS POLICY TO THE SUBCOMMITTEE ON LIBRARIES, COUNCIL ON BUDGETS AND PRIORITIES

Louis Morton

IMPACT NO-GROWTH BUDGETS
DARTMOUTH
9PP.

I. Introduction

The Dartmouth College Library consists of the Central Library (Baker); three major branches: the Kresge Physical Sciences Library, the Dana Biomedical Library, and the Feldberg Business and Engineering Library; as well as Sherman Art Library; an unstaffed library serving the Department of Mathematics; and a duplicate collection of English and American Literature, housed in the Sanborn English Library.

The College of Arts and Sciences is served primarily by Baker (Humanities and Social Sciences), Kresge (Physical Sciences), Dana (Biological Sciences), and Sherman (Art). The three Associated Schools are served by Dana (Medical School) and Feldberg (Tuck and Thayer). None of the libraries is more than a five minute walk from the other so that physical separation does not impose undue hardship.

The Associated Schools at present pay for their library service, which includes some of the personnel and operating costs, the cost of processing library materials, performed by the Central Library, and the costs of library resources (except for Biological Sciences in Dana).

Control of the Dartmouth library is vested in the Dean of Libraries, who reports, oddly enough, to the Vice President of Student Affairs. The Dean is assisted by a Director of Library Services and two Associate Directors. Budget matters are the responsibility of the Director and one of the Associate Directors and are approved by the Dean of Libraries.*

Faculty participation in the affairs of the library is exercised through departmental representatives or, in the case of the branch libraries, faculty committees. To advise the Dean on overall policy there is a Council on the Libraries, an arm of the General Faculty, whose membership consists of representatives

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* In the case of the branch libraries, budgets must also be approved by the relevant deans, although the procedure for accomplishing that has been unclear and ineffective at times.

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of the several faculties of the College in addition to the Vice President, Dean of the Graduate Studies, and, of course, Dean of the Libraries.

In the preparation of this report I was greatly assisted by Dean Lathem; Mr. Meredith, Associate Director for Library Services; Ms. Williamson, the Senior Selection Officer; and the respective chiefs of the branch libraries, Ms. Cleland, Grainger and Jaynes. I did not visit the Departments or talk separately with the Deans of the Associated Schools or their Library Committees; it was the wrong time of the year for such visits.* But Professor Vargish had reported on his interviews with the departments in the Humanities Division and there exists an excellent report on Acquisition Policy in the Sciences and Social Sciences. These two documents proved very useful in the preparation of the report.

* Also the reports of the branch libraries were not read.

II. Policies and Procedures

The procedure by which Baker and the branch libraries acquire books, journals, and other materials is not easy to describe. In theory, each department and program is the starting point for acquisitions; each has or is supposed to have a library representative who makes known the needs of the department or program to the appropriate Selection Officer who reports in turn to one of the Associate Directors. The link between the faculty and the budget officer for resources of the library is the Selection Officer. Baker has at least four selection officers, each of whom is responsible for one or more departments. The head of each of the branch libraries serves as Selection Officer for the departments or associated schools served by that library.

Theoretically, the Selection Officers cost the departmental requests they receive, combine the results with their own estimate of the needs of the department, and prepare a consolidated budget request that they forward to a Budget Officer of the library. He, in turn adjusts their budgets to conform to the overall requirements of the Library as determined by the Dean of Libraries and his superiors -- ultimately the President and the Board of Trustees. The budget for Dana and Feldberg acquisitions are not controlled by the Budget Officer of Baker but by the Deans of the Associated schools; Baker does exercise some control of the subject matter of the materials for the branches though

not fiscal control. Staff requirements are controlled by Baker through one of the Associated Directors.

The budget for staff and for maintenance, heat, repairs, etc. are fairly well fixed, often by authorities outside the library, and are not subject to substantial modification. The budget for the purchase of books, serials, binding, visual aids (i.e., the resources that are housed and serviced) are fairly flexible and can be raised and lowered. This portion of the library budget is therefore the only one in which substantial cuts can be made. The Librarian has some discretion in this area, but he, too, is limited by constraints set by his superiors, by the needs of the departments, and by the inexorable pressures of inflation.

In reality, the procedures for establishing acquisition policy and preparing budgets differ in several important respects from that outlined above. With a few exceptions, notably Art and Biology, departments and departmental representatives play a minor role in the budget process. (This they do by choice; they have the right, if dissatisfied to press their views and voice their dissatisfaction in various ways.) On the whole, most departments are satisfied with their allocations and are content to leave things as they are.

The key person in the budget process, is not the departmental representative but the Selection Officer at Baker and the branch librarians. It is this person who, on the basis of long experience and intimate knowledge of the departments, virtually decides the budget for each department, program and school. Individual requests from faculty members are almost always honored. The cost is very small and scarcely affects the budget but the return in faculty satisfaction is high.

In general, the acquisition policy followed by the Selection Officers in determining what the library should order may be summarized as follows:

1. To purchase material insofar as possible that will add to the fund of knowledge already in the library. By this test, they do not generally order reprints, new editions, anthologies and collections of published works, textbooks (except for Reserve Reading Room), and popular treatment of non-fiction.

2. To restrict purchase of foreign language material to those languages read by a number of its regular or anticipated users, i.e., generally to those in which Dartmouth offers or has offered instruction, with certain ex-

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ceptions. This principle does not apply to dictionaries or reference works.

3. To purchase material needed to support the teaching program and to supplement courses of instruction. The Tower Room (financed by a special budget) and the Howe Library (the Hanover Town Library) purchase light fiction, detective and science fiction, "how to" books, etc. Baker tries to limit itself to serious literature and scholarly treatment of subjects in which students and faculty could conceivably be interested.

4. To purchase material in anticipation of a need, though no courses are presently being offered in the subject and no faculty member is working in the area. Even in highly specialized areas far from present interests of faculty, the library tries to buy the reference materials and standard works in that field. Such an area was soil science some years ago. At that time, no department expressed any interest in the field or imagined there would be any; today this material is in frequent use.

The cost of books and monographs for departments is actually fairly low and the budget requests for the Selections Officer appear relatively low compared to the total acquisitions budget. The requests of the Selection Officers, it appears, are not the major item at all. By far the largest part of the budget allocation for acquisitions is for serials ($410,000 out of $573,000 in the 1974-75 budget). Once a serial (journal, newspaper or regularly issued item) is ordered, the succeeding issues are ordered almost automatically so that this item becomes fixed in the budget. The Selection Officers could not and would not themselves discontinue a serial without the consent of the department so that portion of the budget remains a firm and constantly increasing figure. The Budget Officer of the library may and on occasion does scale down this portion of the budget, usually by not ordering new serials and by other means, but rising costs generally more than compensate for such savings.

Ordering of books and serials is centralized in Baker, as is the cataloging and processing of the books when received. The Associated Schools reimburse Baker for this service in the amount of over $80,000 a year, while Baker pays about $8,000 annually to Buildings and Grounds for delivering books to the branch libraries. All invoices, including those for books ordered by Dana and Feldberg, are received and processed at Baker and sent directly to the Comptroller for payment. (There is some complaint about this procedure by the branch librarians.)

Since ordering is centralized in Baker, duplicate orders are usually detected and a decision made whether the duplication is necessary. Some amount of duplication is unavoidable and perhaps desirable for the professional schools (i.e., the Economic Department and Tuck, Psychology Department and Psychiatry in the Medical School). But, except for a few serials, in the view of the branch librarians and selection officers duplication does not appear to be a major problem. It should be noted, however, that there exists no machinery to resolve a dispute over duplicates, should one arise. Perhaps it is more correct to say that the machinery exists, but there is no way to enforce its decisions.

III. The Budget

The budget for acquisitions by the library cannot be considered in isolation. It must be viewed in relation, first to the total budget of the library, and that in turn must be related to the total annual budget as it reflects the broad aims of the College, the purchases and clientele the library is designed to serve, the nature and level of the services it offers, and its physical location (i.e., the absence of other resources in the area).

The Library exists primarily to serve the needs of the academic community at Dartmouth, which consists not only of undergraduate and graduate students and the faculties of the various schools, but also of the larger community in the region. (This is especially true for the Dana Library which serves most of the medical facilities in N.H. and Vermont, but is also applicable to Baker and the other branches.) It is a superb library for a school of its size, strong enough to support the needs of its students, the research interests of its faculties, and of a number of Ph.D. and specialized programs. It is undoubtedly a major (and probably essential) factor in recruiting and maintaining a first-rate faculty and provides Dartmouth students easy access to an intellectual resource rivalled only by the libraries of great universities. It is not only an intangible resource of the first importance to an intellectual community, and an indispensible basis for scholarship but it is also a capital asset. Its value in coin of the realm is impossible to calculate, but, I understand, it is insured for twenty million dollars. To allow this asset, and with it an integral element of the prestige Dartmouth enjoys in the academic world to deteriorate would be more than

shortsighted; it would be tragic.

The question of priorities lies at the heart of the issues raised by the library budget. We are not yet, I hope, at the point where we have to make a choice between, let us say, baseball and books. But just as a first-rate faculty is essential to the kind of institution Dartmouth is and intends to remain, so, too, is it essential that the College maintain the quality of its library as an intellectual resource.

The library expenses encompass three areas: services, acquisitions (i.e., books, serials, binding, etc.) and other expenditures (i.e., maintenance, heat, supplies, etc.--most of which are included under the Plant budget).

In terms of percentages, excluding Dana and Feldberg, 34 percent of the total library budget was allocated to acquisitions in 1974-75, 45 percent to staff, and 21 percent to "other expenditures." Since this paper is concerned only with acquisitions, it will not deal with the two other categories except to note that the percentage allocated to staff has declined in the past decade about 8 percent and is from 10 to 18 percent lower than that of other ivy league institutions. (Brown devotes 63 percent to salaries.) The troublesome item is "other expenditures." This category has risen in the past decade by 5 percent and includes a number of services related to the physical plant that are not controlled by Baker but by Buildings and Grounds. Similar items in the branch libraries (and at other universities) are not included in the library budgets. This item also includes certain capital expenditures such as those for the Jones Microtext Center, or the provision of equipment for Kresge, or the Samuel Card Catalog Plaza, or the Braverman Circulation Center. These expenditures, it should be noted, are often financed through gifts but are shown in the budget as annual expenditures. In 1973-74, sixty percent of the library budget came from the general funds of the College; 17 percent from Associated School Funds; the remainder from endowment funds.

In examining that portion of the library budget allocated for the purchase of books, serials, etc., it might be helpful to take a closer look at the way this 34 percent of the budget is distributed. The dollar amount represented by this item in the budget proposed for 1975-76 is $619,000 for Baker alone. (When Feldberg and Dana acquisition costs are added the amount is about $825,000.)* This amount represents an increase over the previous year's budget, but a reduction of $75,000 from the amount requested. Considering the inflation factor, the increase approved

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* Biology (6,000) is included in both figures.

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actually means a substantial reduction in acquisitions. For example, it was necessary not only to eliminate all increases for the purchase of monographs but also to impose an additional 20 percent reduction so that the dollar amount spent on this category is approximately the same as that of a decade ago.

Of the total amount allocated for acquisitions, the Selection Officers were responsible only for about $108,000, i.e. the amount to be spent on books or monographs by the various departments and programs. The largest single departmental budget was $14,000 for the Art Department. The next highest was the History Department, which with Chinese Culture, received $8,000 each. The others ranged from $6,000 to $1,500. Another $14,000, representing endowments for restricted use, was set aside for Special Collections.

Where, then, do the bulk of the funds go, if they do not go to the departments for books or to the Selection Officers? By far the largest part of it ($411,000 for Baker in 1975-76 plus approximately another $150,000 for Dana and Feldberg) is allocated to serials, with another $60,000 for binding and microtext. Serials, thus, constitute the bulk of the acquisition costs of Baker today (71 percent as compared to 48 percent in 1963-64), and if there are to be economies in the library, this would appear to be the most promising area to scrutinize. To reduce departmental book purchases by 10 percent would save at most $10,000 and would produce cries of anguish and loud protest; to reduce binding costs would save less and might result in serious deterioration and loss.

The reduction of the serials budget for Baker (and the Associated Schools) raises serious questions and must be approached with care. It is necessary, first, to understand why this figure is so high. For one thing, the number of periodicals published has risen in the last ten years from 28,000 to 55,000, about the same as the percentage rise in the annual world-wide number of published book titles (285,000 to 546,000 between 1955 and 1970). For another, the price of serials has doubled in the past five years. Given the present rate of inflation (15 percent), it would be necessary in order to maintain the present level of expenditures for serials, to drop approximately 500 book titles. In brief, keeping the budget at the present level (i.e., zero growth) would mean a real decline in the resources of the library; an increase to keep pace with inflation would just maintain the present level of purchases of

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books and serials. But this does not take into account the annual increase in the number of publications, the changes in course offerings, new programs and fields, the addition of faculty, etc.

On the basis of these considerations, it would seem that the library must inevitably decline in quality if present allocations are maintained. In fact, the library has been steadily falling behind other research libraries by any measure that is used. In 1930 it rated 20th among the top 30 ranking research libraries in the nation, with total holdings of 330,000 volumes and an annual expenditure for books of $85,000; by 1973-74 it had dropped to 67th place (out of 82) with total holdings of 1,136,575 volumes. In terms of appropriations that year it was 67th among the 82 research libraries listed and 78th in terms of bound volumes purchased.

Actually, the situation is more serious than these statistics might indicate. In the years since 1950 Dartmouth has grown considerably in both size of student body and faculty and in the variety of its offerings.* In 1952 the faculty numbered about 250 ; there were no Ph.D. programs, no Black Studies and no Environmental Studies programs. Ten years later the size of the faculty numbered about 300. These 300 offered about 650 courses and two Ph.D. programs. A decade later the faculty had increased to 480, the number of courses to over 1200, the Ph.D. program to eight, and the number of specialized programs to half a dozen or more. All these created a need for additional library resources for student use and faculty research in a large number of new areas of specialization. Thus, at a period when the percentage allocation of the library for acquisitions should have been increasing it was actually declining.

An historical note may not be out of place at this point. In 1964, the Trustees established a Planning Committee (including several alumni and faculty members) to sketch out long-range plans for the development of the library. After two years of intensive study, the Committee recommended that the Trustees should allocate $1,000,000 of expendable capital as a "catch-up" fund to permit the

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*These figures are approximate and include the Associated Schools. Medical faculty is a highly speculative figure.

library to make up for previous deficiencies, and to raise $10,000,000 of new endowment funds to provide annual income for acquisitions. On the basis of these recommendations, the Third Century Fund adopted as one of its objectives the allocation of $1,000,000 "catch-up" fund but reduced the endowment fund for the library to $5,000,000. To date, neither of these objectives has been reached. Only 355,000 of the catch-up fund has been made available (and used mostly for annual purchases rather than catch-up), and about half a million new endowment for acquisitions.

There would seem to be little doubt that the library is not holding its own and that if present trends continue it will no longer rank as a serious research library. Can the College afford the loss of so important a resource? What kind of a library does Dartmouth want to have? What effect will the deterioration of the library have on Dartmouth's faculty? Or on its reputation for excellence? These and other questions are beyond the scope of this memo but they should be addressed by the Council in its recommendation for the library in the coming years. The library is central to the purposes of the College and constitutes an invaluable and irreplaceable resource accumulated over a 200-year period. Decisions that will seriously affect this resource must be made with care and due consideration for the future of the College.

Louis Morton
Daniel Webster Professor
Professor of History

Enclosures:

1. Table of Dartmouth Library costs, 1965-75, in percentages
2. Comparisons with Princeton, Brown and Rochester, in percentages
3. Budget Request, 1975-76
4. Budget Requests for the Branch Libraries (Tuck, Thayer and Kresge)
5. Budget, 1974-75, Dana
6. Departmental Allocations

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IMPACT NO-GROWTH BUDGETS
PENNSYLVANIA STATE
25PP.

The Pennsylvania State University Libraries
The last five years

1. Introduction

The aim of this short paper is to demonstate how the static financial position of the Libraries at PSU has had serious effects on our ability to meet our obligations to the academic community. It has been prepared by the Associate Director, Murray S. Martin, the Assistant Director for Technical Operations, Edward R. Johnson and the Manager of Business Operations, Francis E. Hooley.

The combined results of non-increasing financial resources, inflation and new demands for services have attenuated our purchasing capacity. This is clear from the various tables and charts. What is even more disturbing is that relative to other major institutions our standing has slipped at the same time. While a budget for books, periodicals and binding totalling about $1,250,000 still appears very respectable, it is now 29th on the list prepared by the Association of Research Libraries as compared with 23rd, five years age.

All figures refer to the University Park Campus only. It is true that the other campuses house substantial numbers of books, but these are for the most part, with the exception of the Hershey Medical Center, duplicates.

The Libraries have sought to purchase, bind as necessary, and process for use books, periodicals, maps, documents, microforms, etc. in support of the instructional, research and continuing education programs of the university. When the Libraries were examined in 1964, the Wisely Committee recommended a goal of 7,000,000 volume equivalents by 1980, as consonant with the goals of the Institution. This clearly required a greatly expanded acquisitions program and in the atmosphere of the 1960's appeared possible. Singificant improvements were made in the remaining years of the decade, but when the five-year plan was prepared in 1970, it had become clear that finance was no longer available to support such a rate of expansion and a more modest goal was set of 2,500,000 volumes by

1980 (plus 1 to 2,000,000 equivalents in microforms). It is worth noting in passing that eighteen American Universities have already passed this goal. Such a goal reflected the research needs of new programs adopted in the 1960's, continued support of the strong, established programs upon which PSU's reputation is presently based, projected new programs now being developed and the expectation that other programs would be established to meet the demands of our students, our faculty and of society at large.

Since then there has been an almost total elimination of federal funds which, coupled with cost increases ranging up to 20% in one year, has made this goal impossible. Based on present trends we might achieve a collection of less than 1,700,000 volumes by 1980, an under achievement of 32% on our revised goals.

Such a situation is clearly critical for the educational goals of the University. This paper is not intended to do more than point out the problems. Our librarians are working for solutions. We have, for example, wherever possible purchased microforms rather than books. Ultimately only the combined efforts of all those most intimately concerned with the University's teaching and research, the deans and faculties of the colleges, will achieve what is necessary. We welcome your help in this admittedly difficult search for a solution to a major university-wide problem.

2. Financial Information

(a) Printed Budget (General Funds) and Actual Total Expenditures

LIBRARY MATERIALS

Source.	1968/69	1969/70	1970/71	1971/72	1972/73 (est.)	1973/74
GENERAL FUNDS Printed Budget	717,261	1,037,261	880,000	848,160	850,000	880,000
Actual Exp.	1,056,524	1,059,511	937,500	1,033,298	1,175,393	1,040,000
SPECIAL (one-shot)	--	--	--	159,249	--	--
RESTRICTED						
Special State	29,556	108,979	114,196	74,835	54,772	139,500
Federal (H.E.W.)	138,034	106,970	44,050	--	13,000	--
Miscellaneous	6,966	5,030	8,834	13,597	23,346	23,850
Total Exp:	1,231,080	1,280,490	1,104,580	1,280,979	1,266,511	1,203,350
INDEX	100	104	90	104	103	98

TYPE OF EXPENDITURE

Books, Maps, etc.	770,565	785,359	592,776	672,297	676,198	570,350
Binding	112,890	134,859	95,127	95,378	83,420	90,000
SUBSCRIPTIONS						
Current Serials	320,348	336,836	391,787	482,310	464,698	500,000
Microforms	27,277	23,436	24,890	30,994	42,195	43,000
	1,231,080	1,280,490	1,104,580	1,280,979	1,266,511	1,203,350

Notes (1) Temporary funds and savings are useful cushions, but. as can be seen from these tables the effect in a year when they are not available (1970/71) is little short of disastrous.

(2) Restricted fund income is highly variable. The line for Federal funds demonstrates dramatically the change in Federal support of libraries.

(3) "Books, maps, et." includes documents, microform collections, back-runs of periodicals and similar individual purchases as contrasted with the permanent nature of a subscription.

This table shows clearly the stationary budget available to the libraries for the purchase of materials and their dependence on special funds, whether from the University or other sources, for other than basic necessities.

On the expenditure side, despite strictly controlled expansion, the cost of current subscriptions has risen by nearly 60%. Without extra money, the result is a decrease in other kinds of purchases.

(b) Inflationary effects

All sectors of the economy have experienced continuing inflation, none more so than the book trade. The following tables use information from indexes prepared by the Library Materials Price Index Committee and the Bowker Company. Sample information only is presented here. Fuller tables are appended.

Principles Indexes

	1967-69	1970	1971	1972	1973	1974
U.S. Books-Hardbound	100.0	132.9	151.0	148.1	n.a.	150.0 (est.)
U.S. Periodicals & Journals	100.0	120.2	134.6	152.8	187.1	210.0 (est.)
U.S. Serial Services	100.0	118.0	124.3	131.7	142.9	153.0 (est.)

The 1974 figures are projections based on available information. All indications are that these trends will continue, probably accentuated by such factors as the shortage of paper. It must also be remembered that there have been significant increases in postal rates over the same period.

Note. the apparent stabilization of book prices in 1971 and 1972 is deceptive. The drop in the index figure results from (1) the collapse of several reprint publishers and the consequent reduction in the number of high-priced reprints included in the total and (2) a change in the base used by the Bowker Company. By referring back to the previous page it should be all too clear that with anticipated expenditures only 98% of 1968/69 and price increases of 50-110%, the libraries can scarcely remain static much less support new programs.

Individual prices

Indexes, of course, are compiled from multitudes of individual prices. Actual prices lend clarity to the index figures. Some sample prices, showing a five year increase are:

Books	Average Price 1967/69	Index	Average Price 1972	Index
Agriculture	$ 9.71	100.0	$ 10.94	112.7
Art	12.44	100.0	14.94	120.1
Education	6.58	100.0	10.26	155.9
History	9.95	100.0	14.92	149.9
Language	10.13	100.0	14.61	139.8
Poetry, Drama	6.69	100.0	10.62	158.7
Science	12.67	100.0	16.05	126.7
Sociology, Economics	9.35	100.0	16.93	181.1
Technology	13.03	100.0	16.11	123.6

Periocials	Average Price 1967/69	Index	Average Price 1973	Index
Agriculture	4.68	100.0	7.21	154.1
Art	6.71	100.0	9.16	136.5
Education	6.34	100.0	11.34	178.9
History	6.04	100.0	8.95	148.2
Literature & Langugae	5.38	100.0	8.14	151.3
Chemistry/Physics	24.48	100.0	56.61	231.5
Engineering	10.03	100.0	23.37	233.0
Sociology, Anthy.	6.11	100.0	11.28	184.6
Zoology	13.39	100.0	24.07	179.8

Serial Services (Indexes)	Average Price 1967/69	Index	Average Price 1973	Index
Gen. & Humanities	28.23	100.0	73.66	260.9
Sci. & Technology	65.23	100.0	103.39	158.5
Social Sciences	65.63	100.0	124.30	189.4
"Wilson Index"	253.33	100.0	315.82	124.7

The Libraries buy only selectively and, generally speaking, it is the lower priced books and periodicals which are not bought, since these represent popular or text-type materials. The effects of individual price increases will vary greatly depending on the fields most emphasized in buying, but it is worth noting that many areas traditionally cheaper, such as Education or Poetry and Drama can no longer be so categorized.

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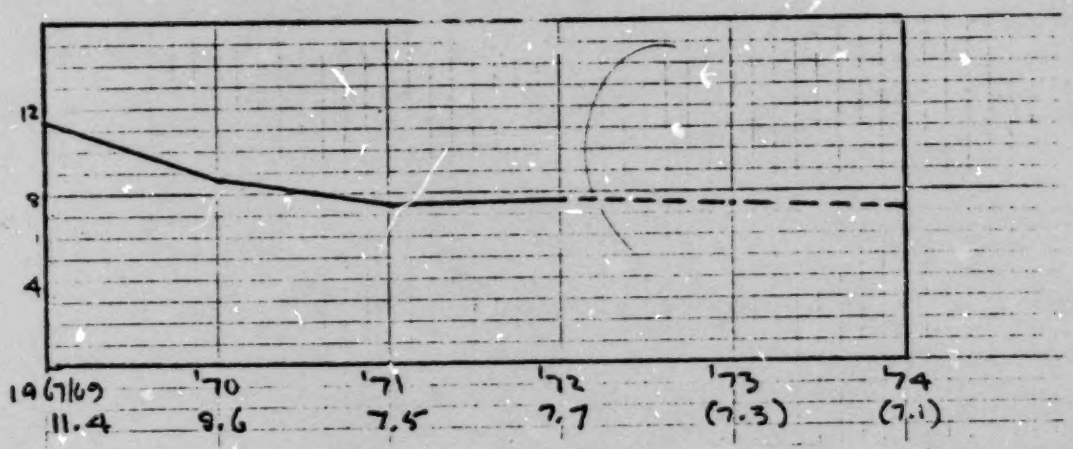
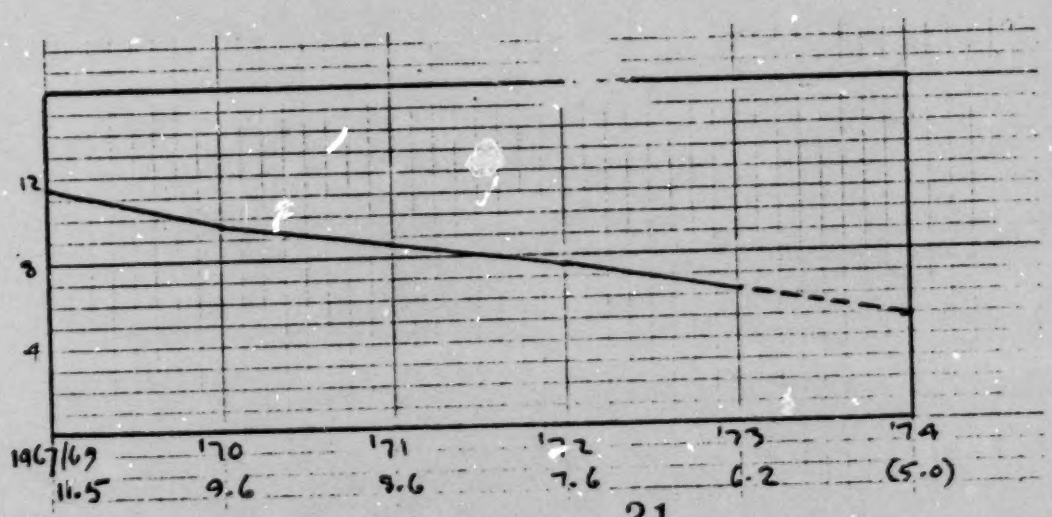
(c) Effects Of Inflation on the Libraries' Buying Power

The cumulative effects of inflation are best demonstrated by graphs demonstrating the effective purchasing power of standard dollars (1967/69).

i. Books Number of U.S. Books Purchased for $100.



ii. Periodicals Number of U.S. Periodical Subscriptions purchased for $100



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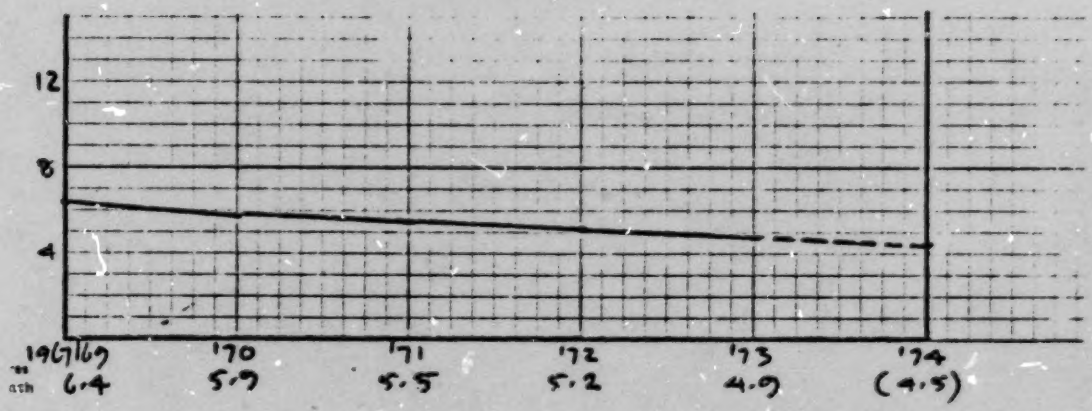
iii Serial Services Number of U.S. Serials Services purchased for $500



It is difficult to express these factors in terms of the whole library budget, although they make clear that the same money in 1974 will buy far fewer items than was possible in 1969. Because committments to periodicals tend to be permanent in nature, this reduction must be borne most heavily by other kinds of purchases. The accompanying table showing graphically the distribution of library expenditures demonstrates this effect.

The distribution expressed as a percentage shows the effect of long-term permanent committments.

The absolute and the percentage expenditure on periodicals has been kept to the level it has by holding back on new subscriptions and cancelling others. This has to a certain extent offset the effects of inflation.

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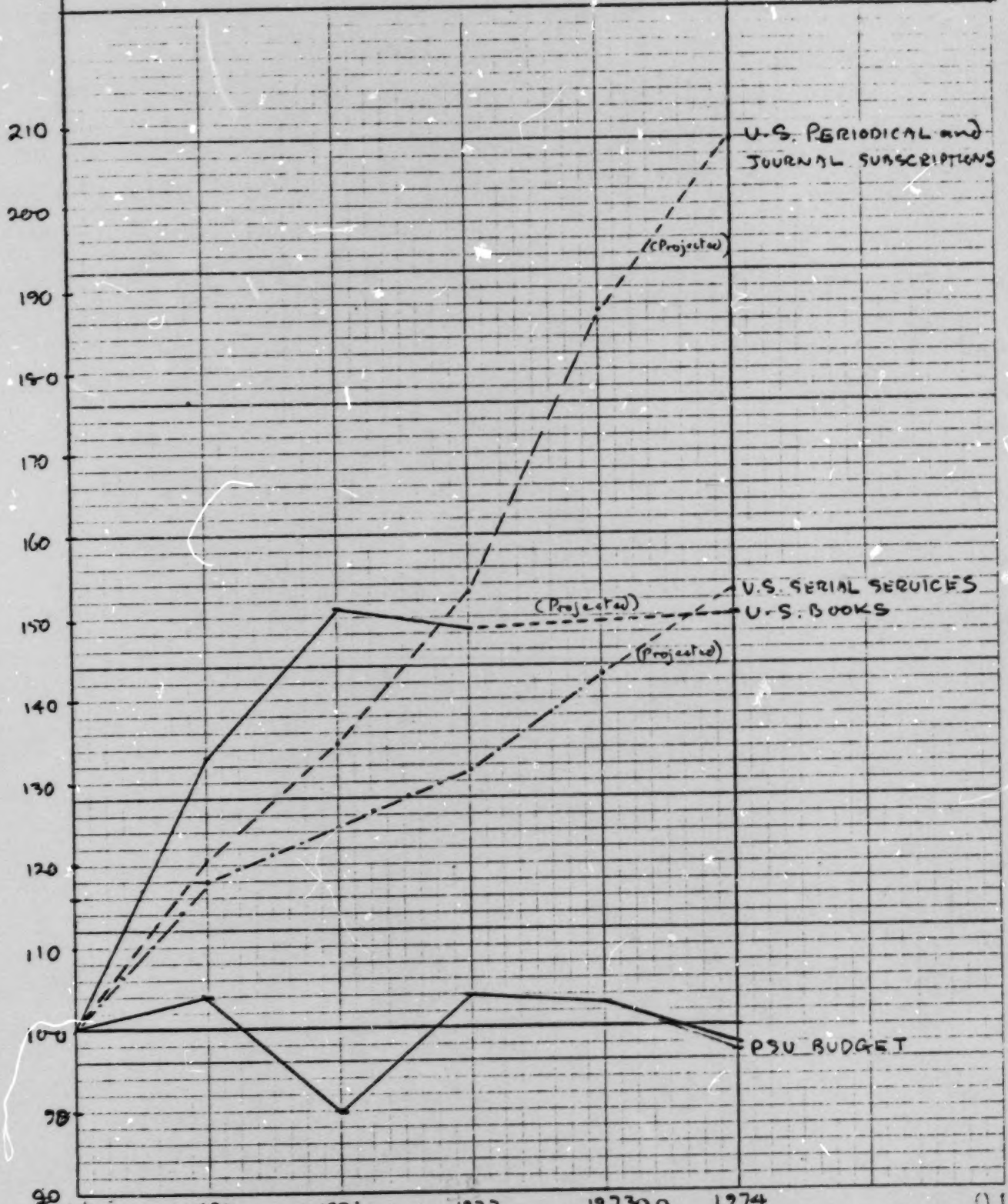
BOOK AND PERIODICAL PRICE INCREASES, 1967/69 - 1974, COMPARED WITH THE BUDGET FOR BOOKS, PERIODICALS AND BINDING



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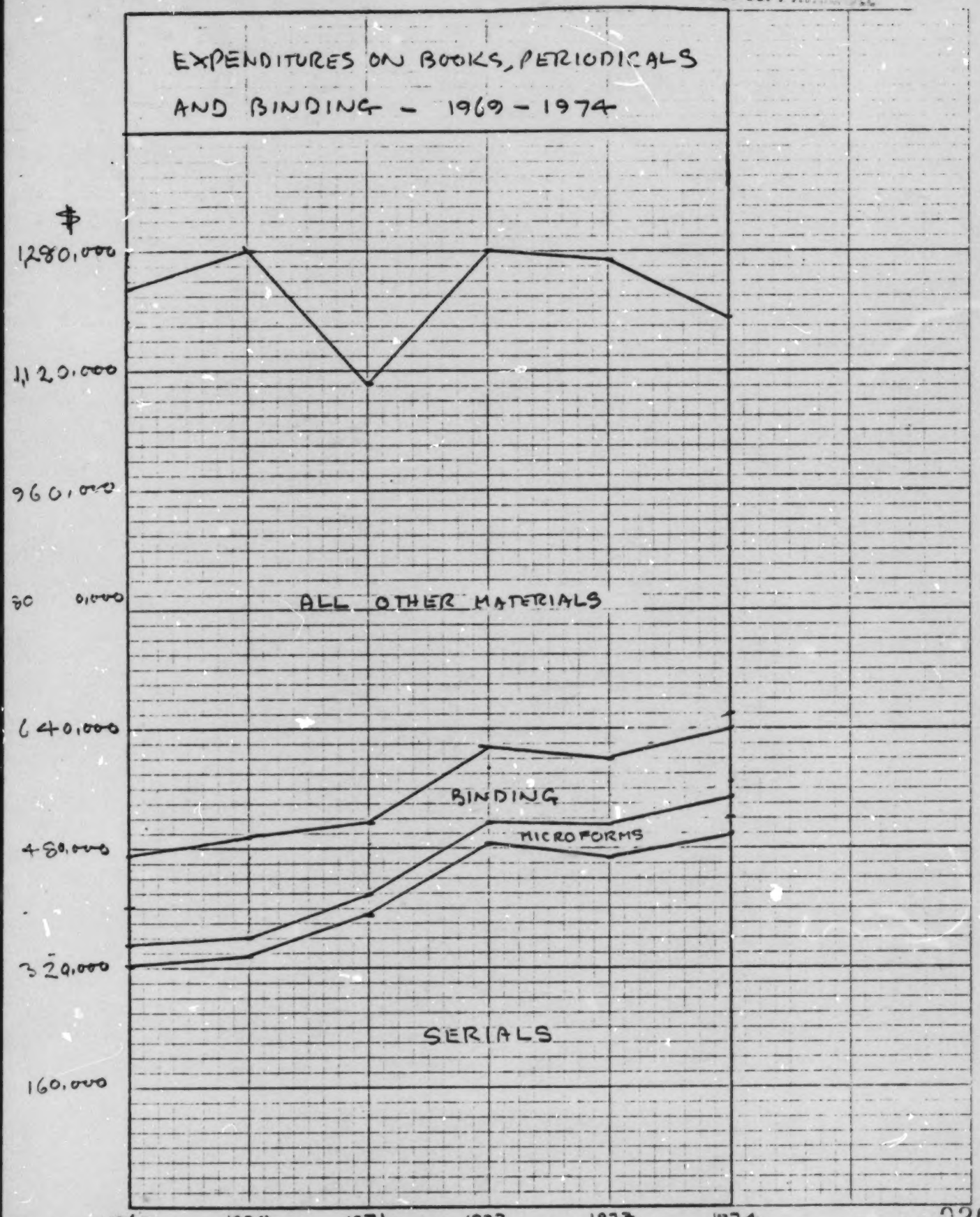

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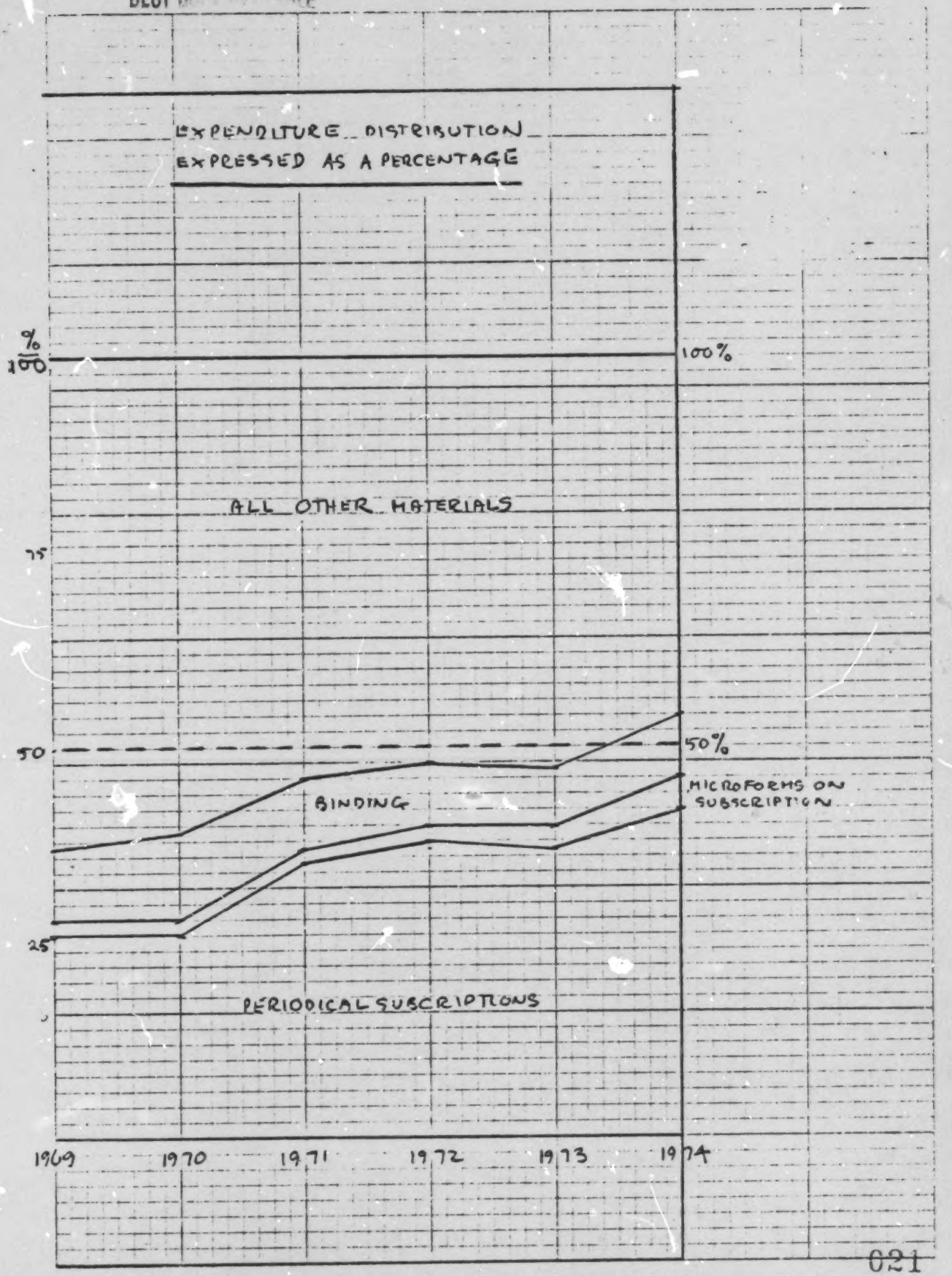

021

3. The Collections at University Park

Qualitative evaluation of the collections is essentially a personal matter. The PSU collections are strong in some areas and weak in others. These strengths and weaknesses reflect the historical development of the institution and changes over the years in its academic mission. Quantitative evaluation is more readily available and the tables in this section are designed to provide gross figures for the various Units of the Libraries. By their nature tables showing only annual figures tend to misrepresent what is actually a continuous process. Nevertheless the five-year trend clearly demonstrates a reduction in our purchasing power. A reduction from 83,000 to 60,000 in the number of volumes added is a drop of more than one-fourth in five years. The following tables show both the physical location of materials and the classified distribution of the collections. These approaches show the academic profile of the collections, from a different perspective.

Finally, some figures are presented showing the use made of the libraries. The use made of the collections is showing significant increases, particularly in reference services. The increase is in part the result of an increase in student enrollment, but goes beyond what might be expected as a result of that growth. It seems to indicate four things (1) increased user sophistication (2) increased standards of library service (3) substantial improvement in the ability of the libraries' resources to support instruction and research and (4) improved physical facilities.

Use statistics

	1968/69	1969/70	1970/71	1971/72	1972/73	1973/74
Student enrollment	25,960	26,823	26,333	28,650	29,147	29,887
Collection Usage. (Volumes borrowed or read in library)	na	na	1,623,123	1,809,888	1,950,000	2,000,000
No.of persons using library	na	na	1,444,757	1,521,862	1,600,000	1,650,000
Reference Services (Questions, tours, etc)	na	na	180,575	282,770	380,000	450,000
Interlibrary Loan Services	na	na	26,838	29,231	32,000	36,000

These figures are those developed for the workload indicators used in Budget Preparation. For example, the collection usage figure adds in-house use to materials circulated. In-house use is not reported by most libraries but it is an important factor in measuring user service response.

Collections Profile

Cataloged Volumes	1968/69	1969/70	1970/71	1971/72	1972/73
Agricultural & Biological Sciences	89,766	94,026	99,231	105,459	112,252
Architecture Reading Room	7,124	7,457	8,023	9,031	9,357
Arts Library	19,845	23,283	24,382	25,206	28,191
Chemistry/Physics Library	41,150	43,092	45,371	47,648	49,617
Earth & Mineral Sciences Library	44,641	46,619	48,446	50,519	52,506
Engineering Library	32,842	34,687	36,901	39,262	40,923
Interreligious Reading Room	966	975	1,000	1,026	1,053
Mathematics Library	13,905	14,788	16,013	17,204	18,392
Rare Books & Special Collections	12,349	13,851	15,285	17,851	19,247
Reference Department	3,757	4,866	7,300	9,636	12,712
Undergraduate Library	49,235	59,498	66,035	74,179	82,498
Pattee Library	684,950	728,463	769,134	811,194	842,162
Total	1,000,530	1,071,605	1,137,121	1,208,215	1,268,910

Non-Book Materials	1968/69	1969/70	1970/71	1971/72	1972/73
Documents	529,972	583,034	642,749	699,788	761,484
Microforms	545,953	599,562	659,739	730,591	952,130
Maps	133,659	148,466	160,411	167,435	167,435
Phonoforms (discs, tapes, cassettes)	259	448	707	1,168	1,330

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Growth of the Collections

	1968/69	1969/70	1970/71	1971/72	1972/73
1) Total number of cataloged volumes added.	83,737	71,075	65,516	71,094	60,695
2) Growth rate as % of collections	9.13	7.10	6.11	6.25	5.02
3) Non-book materials added (in units)	199,459	121,667	132,096	135,376	283,397
4) Growth rate as % of collections	19.75	10.06	9.92	9.25	17.77

Growth of the Collections, By Area (1)

1. Total Number of Cataloged Volumes Added

	1968/69	1969/70	1970/71	1971/72	1972/73
Agricultural & Biological Sciences	5,200	4,260	5,206	6,228	6,793
Architecture	139	333	566	1,008 (2)	326
Arts	3,550	3,438	1,099	824 (2)	2,985
Chemistry/Physics	2,188	1,942	2,279	2,277	1,969
Earth & Mineral Sciences	2,364	1,978	1,827	2,073	1,987
Engineering	2,439	1,845	2,214	2,361	1,661
Interreligious Reading Room	18	9	25	26	27
Mathematics	1,222	883	1,225	1,191	1,188
Rare Books (3)	11,519	1,502	1,434	2,566	1,396
Reference Department (4)	2,256	1,109	2,434	2,336	3,076
Undergraduate Library	8,153	10,263	6,537	8,144	8,319
General (5)	44,689	43,671	40,671	42,060	30,968
	83,737	71,075	65,516	71,094	60,695

Notes on Growth of the Collections.

(1) All figures refer only to materials catalogued during the year in question, regardless of when they were bought. They include materials transferred into any one area.

(2) The figures for Arts and Architecture in 1971/72 reflect the transfer to the Architecture Reading Room of a substantial number of volumes previously held in Arts or other areas

(3) The figure for Rare Books for 1968/69 represents a statistical correction for materials previously counted in General. The actual number of new volumes added was approximately 1,500.

(4) The Reference Department figures include substantial numbers of volumes transferred into this area each year.

(5) General includes figures for the former Human Development Library. The low number for 1972/73 reflects the withdrawal in that year of about 10,000 duplicate volumes after amalgamation of the collections

(6) The figure for maps in 1972/73 reflect the fact than in the preceeding year an active weeding program removed as many obsolete maps as were added.

Classified Analysis

In January 1971 and September 1973, the Library undertook a shelf-list count, in concert with several other libraries. The procedure is to measure the shelf list, which consists of one card for each title in the collection including periodicals and to convert these measurements to total units, 100 cards to the inch.

The counts show the growth of the collections over the intervening period. Differences arise from withdrawals and reclassification during that time, but these are minor.

Shelf-List Count - January 1971

LC Classification	+	Dewey Equivalent	Total	%
A (General)	1,390	2,320	3,710	.7
B-BJ (Philosophy)	7,390	4,130	11,520	2.3
BL-BX (Religion)	8,290	9,010	17,300	3.4
C (History)	2,320	27,110	29,430	5.8
D (History:General & Old World)	21,590	14,040	35,630	7.0
E (History:U.S.)	7,120	7,770	22,090	4.3
F (History:America	7,200			
G (Geography,etc.	6,550	14,960	21,510	4.2
H-HJ (Economics)	18,650	21,950	40,600	8.0
HM-HX (Sociology)	7,780	14,970	22,770	4.5
J (Pol. Sci.)	5,980	10,480	16,460	3.2
K (Law)	1,920	5,330	7,250	1.4
L (Education)	6,790	13,950	20,740	4.1
M (Music)	4,000	-	4,000	.8
N (Fine Arts)	13,310	-	13,310	2.6
P-PA (Philology Classics)	3,460	4,620	8,080	1.6
PB-PF (European Mod. Lang.)	3,060			
PG-PH Slavic	5,490	7,850	17,830	3.5
PJ-PM Other	1,430			
PN (Lit:General)	3,160	4,800	7,960	1.6
PQ (Romance Lt.)	13,100	16,380	29,480	5.8
PR (Eng. Lit.)	11,310	18,000	29,310	5.8
PS (Amer. Lit)	10,000	14,040	24,040	4.7
PT (German Lit.)	3,090	7,030	10,120	2.0
PZ (German Lit.)	1,020		1,020	.2
Q (Science)	25,420	13,170	38,590	7.6
R (Medicine)	4,620	8,240	12,860	2.5
S (Agriculture)	3,830	9,940	13,770	2.7
T (Technology)	12,030	22,580	34,610	6.8
U/V (Military)	1,560	-	1,560	.3
Z (Bibliography)	6,860	6,280	13,140	2.6
	229,720	278,970	508,690	

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Shelf-list Count September 1973

LC Classification		Dewey Equivalent	Total	%
A (General)	2,613	1,178	3,791	.6
B-BJ (Philosophy)	10,799	10,237	21,036	3.4
BL-BX (Religion)	12,375	8,835	21,211	3.4
C (History-Auxilary Sciences)	3,426	840 25,190 (B)	29,456	4.7
D (History:General & Old World)	31,117	15,374	46,491	7.5
E (History:America)	10,167	6,488	16,655	2.7
F (History American)	12,552	624	13,176	2.1
G (Geography etc)	9,272	5,877	15,149	2.4
H-HJ (Economics)	26,195	22,570	49,455	7.9
HM-HX (Sociology)	13,661	5,187	18,848	3.0
J (Political Science)	8,639	9,386	18,025	2.9
K (Law)	3,600	5,206	8,806	1.4
L (Education)	10,214	11,324	21,538	3.5
M (Music)	7,826	4	7,830	1.3
N (Fine Arts)	26,217	3,016	29,233	4.7
P-PA (Philology-Classics)	1,558 3,819	3,895	9,272	1.5
PB-PT (Mod. Europ. Lang.)	2,204	3,038	5,242	.8
PG-Ph (" Slavic Lang & Lit)	9,532	2,824	12,356	2.0
PJ-PM (Asian, African languages, etc)	2,316	433	2,749	.4
PN (Literature & Gen)	8,027	5,092	13,119	2.1
PQ (Romance Lits)				
French	5,736	7,752	13,488	2.3
Italian	1,400	1,254	2,654	.4
Spanish	9,892	4,560	14,452	2.3
Portuguese	1,584	608	2,192	.4

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LC Classification		Dewey Equivalent	Total	%
PR (English Lit.)	16,311	16,948	33,259	5.3
PS (American Lit.)	17,974	13,300	31,274	5.0
PT (German Lit Etc)	3,396	6,916		
	3,866	475	14,653	2.4
PZ (Fiction/Juvenile)	1,815	-	1,815	.3
Q (Science)	34,283	26,209	60,492	9.7
R (Medicine)	7,403	6,973	14,376	2.3
S (Agriculture)	6,659	8,379	15,038	2.4
T (Technology)	17,675	18,757	36,432	5.8
U (Military Sci)	1,454			
	513	988	2,955	.5
V (Naval Sci)	1,967			
Z (Bibliography)	14,087	2,204*	16,291	2.6
TOTAL A-Z	360,868	261,941	622,809	

* Now reclassified in Z

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4 Penn State and other Libraries

To put the foregoing information in context, PSU is here compared in two different ways with other institutions. First, a profile is developed from the recores of the Association of Research Libraries. Second a five-year growth comparison is made with eleven similar academic libraries.

(a) Association of Research Libraries - PSU Profile

This profile is developed from statistics which place member libraries in rank order. The published figures are for systems (i.e. including Branch Campuses, etc.). Because PSU is rather different from the other institutions separate figures for the University Park Campus have been compiled. This provides a much more realistic evaluation of the "research" capabilities of the libraries. The five-year picture that emerges is of a lower-middle range institution among the 81 members of the Association. Any slim advances have been eroded by the sudden slump in "volumes added" and "Expenditures on materials and binding." It is little comfort to remark that Pitt, Penn and Temple are in much the same boat.

PSU Profile-by rank order out of 81 ARL Libraries

	1968/69	1971/72	1972/73
Vols in library	56th	54th	54th
Vols. added	46th	46th	57rd
Total Micro holdings	n.a.	n.a.	18th
Current Perios.	n.a.	n.a.	38th
Prof Staff	n.a.	n.a.	32nd
Non-Prof. Staff	n.a.	n.a.	18th
Total Staff	19th	24th	32rd
Total Exp. Bks. & Binding	23rd	23rd	29th
Total Salaries & Wages	30th	29th	25th
Total Op. Expenses	27th	21st	29th

PENN STATE LIBRARY'S RELATIVE STANDING IN RELATION TO ELEVEN COMPARABLE UNIVERSITY LIBRARIES

Baumol and Marcus[1] have determined that the library at Penn State has had a growth rate over the last twenty years that is similar to that of thirteen other academic libraries. For comparison purposes, the statistics of the largest library (UCLA) and the smallest (Texas A & M) have not been included. Here is where Penn State stands in relation to these other libraries:

	Penn State 1968/69	Penn State 1972/73	Penn State 5 Year Growth Rate	Combined Average 5 Year Growth Rate
Volumes Held	10th	8th	27%	19%
Volumes Added	6th	7th	-27%	-12%
Number of Periodicals Received	9th	6th	48%	9%
Expenditures for Books and Periodicals	1st	2nd	3%	19%
Total Library Operating Expenditures	2nd	2nd	37%	29%
Number of Students	5th	4th	15%	1%
Number of Books Per Student	8th	10th	10%	2%
Per Student Expenditure	1st	4th	-10%	16%
Number of Faculty	6th	6th	-9%	5%
Number of Books Per Faculty	2nd	5th	40%	35%
Per Faculty Expenditure	1st	3rd	14%	23%
Number of Library Staff	3rd	2nd	47%	9%
Librarian/Student Ratio	3rd	1st	22%	2%

[1]Baumol, William J. & Matityahu Marcus, Economics of Academic Libraries. Washington, D.C., American Council on Education, 1973.

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1968/69	Volumes Held	Volumes Added	Number of Periodicals Received	Expenditures for Books & Periodicals	Total Library Operating Expenditures	Number of Students	Number of Books Per Student	Per Student Expenditure	Number of Faculty	Number of Books Per Faculty	Per Faculty Expenditure	Number of Library Staff	Librarian Student Ratio
Michigan State University	1,511,914	117,223	20,574	$ 923,904	$2,755,327	49,515	30.5	$18.66	---	---	---	192	1:258
University of Kansas	1,434,344	89,605	17,728	$ 749,784	$2,143,388	17,790	80.6	$42.15	---	---	---	167	1:107
Syracuse University	1,386,724	83,032	6,656	$ 705,694	$1,966,250	24,348	56.9	$28.98	---	---	---	186	1:131
University of Florida	1,346,101	72,586	14,346	$ 740,257	$2,156,514	19,848	67.8	$37.30	2,894	465.1	$255.79	187	1:106
Louisiana State University	1,244,124	45,259	24,257	$ 474,293	$1,540,216	19,221	64.7	$24.68	---	---	---	116	1:166
University of Tennessee	1,169,153	94,603	20,268	$ 920,798	$2,343,975	30,875	37.8	$29.82	2,720	429.8	$338.53	216	1:143
University of Utah	1,157,529	99,609	19,800	$ 565,559	$1,765,090	19,619	59	$28.83	1,329	870.9	$425.55	134	1:146
University of Maryland	1,092,054	93,261		$1,212,032	$3,135,320	45,802	23.8	$26.46	3,125	349.5	$387.85	251	1:182
University of Oklahoma	1,065,779	55,256	17,039	$ 574,315	$1,408,766	19,930	53.5	$28.82	2,000	532.9	$287.16	110	1:181
Penn State University	1,000,430	83,715	12,226	$1,231,080	$2,834,225	25,960	38.5	$47.42	1,871	534.7	$657.98	209	1:124
Purdue University	968,597	65,845	24,855	$ 862,098	$2,272,878	36,102	26.8	$23.88	2,112	158.6	$408.19	190	1:190
Florida State University	820,331	72,378	8,764	$ 575,450	$1,510,219	17,496	46.9	$32.89	---	---	---	119	1:147

1972/73	Volumes Held	Volumes Added	Number of Periodicals Received	Expenditures for Books & Periodicals	Total Library Operating Expenditures	Number of Students	Number of Books Per Student	Per Student Expenditure	Number of Faculty	Number of Books Per Faculty	Per Faculty Expenditure	Number of Library Staff	Librarian Student Ratio
Michigan State University	1,981,976	114,740	19,169	$ 988,038	$3,220,233	44,616	44.4	$22.15	---	---	---	189	1:236
University of Kansas	1,684,307	65,370	22,836	$ 884,253	$2,712,046	20,075	83.9	$44.05	1,375	224.9	$643.09	169	1:119
University of Florida	1,619,937	69,257	16,898	$1,191,778	$3,176,914	23,570	68.7	$50.56	2,295	705.8	$519.29	202	1:117
Syracuse University	1,536,276	80,597	7,838	$ 656,156	$2,168,568	19,453	78.9	$33.73	1,602	958.9	$409.59	186	1:105
University of Maryland	1,521,288	127,249	19,253	$1,758,304	$5,422,476	45,853	33.2	$38.35	4,235	359.2	$415.18	326	1:141
University of Utah	1,445,413	133,641	14,564	$ 807,490	$2,150,968	21,221	68.1	$38.05	710	2,035.8	$1,137.31	129	1:165
Louisiana State University	1,431,893	40,852	16,602	$ 448,822	$1,604,124	22,031	65	$20.37	2,000	715.9	$ 224.41	109	1:202
Penn State University	1,268,910	60,695	18,133	$1,271,645	$3,894,134	29,887	42.5	$42.55	1,693	749.5	$ 751.12	308	1:97
University of Oklahoma	1,204,276	26,593	18,120	$ 525,084	$1,536,166	23,449	51.4	$22.39	2,932	410.7	$ 179.09	122	1:192
University of Tennessee	1,125,335	47,340	20,456	$ 805,656	$2,216,422	26,370	42.7	$30.55	2,662	422.7	$ 302.65	175	1:151
Purdue University	1,047,334	35,904	18,931	$ 880,636	$2,555,075	35,489	29.5	$24.81	2,257	464	$ 390.18	199	1:178
Florida State University	1,017,093	48,439	10,609	$1,148,026	$2,757,149	19,160	53.1	$59.92	1,315	773.4	$ 873.02	149	1:129

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Sources For Comparative Statistics

1. American Library Directory., 27th ed., 1970/71; 28th ed., 1972/73.

2. American Universities and Colleges. 11th ed., 1973.

3. Association of Research Libraries. Library Statistics of Colleges and Universities. 1969, 1970, 1971, 1972, 1973.

4. College Blue Book. 13th ed., 1969/70; 14th ed., 1972.

5. Memorandum from Laura Saunders to Murray S. Martin, October 26, 1973. (Enrollment and Faculty Statistics for Penn State.)

6. Parker, Garland G., "College and University Enrollments in America,"
   School and Society, 97 (January, 1969), 43 - 61.
   School and Society, 98 (January, 1970), 41 - 58.
   School and Society, 99 (February, 1971),105 - 126.
   School and Society, 100 (February, 1972),113 - 134.
   Intellect , 101 (February, 1973),314 - 317.

7. U.S. Office of Education. Education Directory. 1969/70, 1970/71, 1971/72, 1972/73.

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SUMMARY

There are no easy answers to the problems raised by this study. The allocation of scarce resources is a task guaranteed to make the strongest flinch. At PSU the problem is compounded by the continuing development of new areas in the curriculum.

For some years a formula has been used to achieve as good a distribution of resources for materials as possible. This formula uses factors such as numbers of faculty, number of courses, number of graduate students, and price indexes in an endeavor to reflect the academic commitment of the institution. New programs have to be built into this distribution, but, in the absence of new money, can receive an allocation only at the expense of other programs.

External factors such as price increases, devaluation and postal charge increases are outside the library's control, but must be reckoned with in forward planning.

For the future, close cooperation in planning will be essential, both with the administration and the academic units.

ARIZONA STATE
UNIVERSITY
UNIVERSITY LIBRARY
TEMPE, ARIZONA 85281

IMPACT NO-GROWTH BUDGETS
ARIZONA STATE
4PP.

MEMORANDUM

TO:

FROM: Dr. Donald W. Koepp, University Librarian

During the past five years, the costs of periodicals and other serials to which academic libraries subscribe have increased by 80%. During the period between July 1, 1973 and February 1, 1974, these costs have increased by 25%. Estimates for next year's increases range from 15% to 40%.

On this campus, the Library Administration has followed the common practice of allocating a portion of the total book budget to academic units to spend at their discretion while funding periodicals and other serials out of a central fund. As a result of this practice, departments understandably tend to regard periodicals as "free", to object strenuously to the discontinuation of any existing subscriptions, and to have a very imperfect notion as to the total Library funds spent in support of the various disciplines. The attached analysis of estimated costs of Library materials by discipline is intended to give departments a more precise notion as to overall costs.

Since the basic book budget will be the same in 1974/75 as it was in 1973/74, some measures must be taken to live within our budget. The measures to be employed are as follows:

1. Prior to August 15, 1974, the member of the Library staff responsible for coordination with individual departments will develop a list of periodicals and other serials which, in the Librarian's judgment, should be dropped before other periodicals are dropped. The dollar value of these subscriptions shall equal a certain percentage of the unit's total subscription costs as indicated by the January, 1974 study. The percentage will be determined by inflation rates in the discipline during the preceeding year, program considerations, (e.g., new doctorates), and the total amount of money expended for the department's periodicals.

continued.....

036

2. These lists will be provided to Department Chairmen or Deans on or about August 15th. The academic unit will then have two choices:

   a. to accept the list and agree to cancellation;
   b. not to accept the cancellation of certain items, but to agree to the funding of these items from the unit's departmental allocation of Library funds for as long as the department wishes to continue the subscription.

3. Unit decisions will be required by October 1, 1974. Lists of items to be discontinued will be circulated in the event that other units wish to assume the costs.

* * * * * * * * * * * * * * * * *

INFLATION AND DEVALUATION

The ability of the University Library to acquire relevent materials has, during the past five years, been enormously reduced by two factors: the devaluation of the dollar and domestic inflation.

Regretfully, we cannot give precise information regarding the impact of devaluation. We estimate that we purchase roughly 25% of our materials abroad and that the purchasing power of the dollar in the countries where we purchase most heavily dropped 20% during 1973.

Precise information regarding increases in costs of domestic publications is given below.

	BOOKS Average Price	PERIODICALS Average Price	SERIALS SVCS. Average Price
1969	$ 9.50	$ 9.31	$ 78.79
1970	11.66	10.41	85.44
1971	13.25	11.66	90.05
1972	12.99	13.23	95.38
1973	12.20	16.20	103.45
1974	13.42	19.44	133.00
% Increase 1969-1974	41%	108%	68%

Figures based upon Annual Costs indexes published in Publishers Weekly and Library Journal, except for 1974 data which is based upon local estimates.

DWK:bh

	Est. Abel Costs 1972/73	Harrossowitz Costs 1972/73	Departmental Allocations Expenditures 1972/73	Est. Costs: Periodical and Serials 1974/75	Est. Costs: Series, Sets, and Memberships: Average Costs Over The Past Four Years
Humanities				467.75	385
Mass Communication	974		121	483.28	18
Mathematics	200	600.00	705	13,066.10	1,872
Military Science	216		54	208.15	84
Music	948		4,881	4,192.90	4,196
Nursing	1,293		1,419	5,426.37	536
Philosophy	1,508	3,000.00	3,173	1,536.47	1,943
Physics	2,852		2,196	24,669.55	2,509
Political Science	4,887	950.00	1,863	7,822.14	1,332
Psychology	2,661		1,754	6,006.49	212
Sociology	69		670	2,508.56	331
Speech	62		1,004	1,060.41	131
Zoology	5,158		2,557	16,311.01	1,981

Note: Abel estimates are based upon Library of Congress Classification Scheme, not upon books actually selected by particular academic units.

038

LIBRARY BOOK BUDGET

Arizona State University Library
January 16, 1974

Funds expended in support of Academic Programs during 1972/73 either through approval plans or directly by the department. Periodical and serials costs for 1974/75 and average series, sets and membership costs over the past four years by department.

	Est. Abel Costs 1972/73	Harrossowitz Costs 1972/73	Departmental Allocations Expenditures 1972/73	Estimated Costs: Periodical and Serials 1974/75	Estimated Costs: Series, Sets, and Memberships: Average Annual Costs Over The Past Four Years
Aerospace	0		0	61.00	0
Agriculture	858		654	4,301.90	214
Anthropology	1,876		5,512	3,591.65	786
Architecture	29		7,775	3,547.49	666
Art	7,331		6,279	4,477.36	1,369
Botany	163		3,625	11,828.36	1,441
Business	7,906		8,556	38,780.62	693
Chemistry	4,910		3,572	43,166.16	7,136
Education	1,689		5,253	9,950.57	489
Engineering (Excluding Agriculture)	5,589		4,048	31,970.13	3,555
English	12,017		11,746	11,997.33	3,463
Foreign Language	39	4,000.00	8,709	5,617.88	2,996
G S S S A	1,091		556	560.87	72
Geography	691		1,045	2,232.34	507
Geology	1,129		3,616	7,619.80	717
Health, Phy. Ed.	513		507	1,275.08	54
History	11,114	1,000.00	14,592	4,761.15	5,703
Home Economics	373		605	1,463.73	75

RUTGERS UNIVERSITY *The State University of New Jersey*

INTERDEPARTMENT COMMUNICATION
February 12, 1976

RUL 76-12

To: All Staff - Rutgers University Libraries

From: Virginia P. Whitney
University Librarian

Re: Suggestions for Cost Savings

IMPLEMENTING BUDGET CUTS
RUTGERS
2PP.

As each of us knows, the University and its libraries are faced with reduced funds for 1976-77. The libraries have been instituting efficiences in the systems for the purpose of providing the best use of funds and staff and to improve services. The immediate prospect clearly will require even more.

With the knowledge that each of us has an interest in this endeavor, I am sending you a form (attached) for your convenience in making any suggestions you have. I request these be returned not later than March 31 for use in preparation of the next working budget. Additional forms will be provided to each unit should anyone have more than one suggestion.

Sign it if you like but anonymous suggestions are equally welcome. Please send these to me. I will consider each one, consolidate only duplicate suggestions, and provide them to the Cabinet and to the Budget and Planning Committee. Every suggestion will receive full consideration.

Some may be implemented immediately, others may require longer consideration and some, upon examination and further study, may not be acted upon.

I shall report to you on the number received, those implemented and savings effected through the Newsletter.

Suggestions of any type; change in system or procedure, cutting services, redeploying of staff, a new procedure and all others, will be most welcome. As we prepare to face the additional fiscal problems, I welcome and thank you in advance for your assistance.

VPW/jcm
encl.

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RETURN TO UNIVERSITY LIBRARIAN

Rutgers University Libraries

Suggestions for Cost Savings

Brief Descriptive title:

Estimated Savings:
(If you cannot figure cost savings, make an estimate. Procedural changes may be suggested without savings estimates)

Describe suggestion:

Background Data or Information:

011

IMPLEMENTING BUDGET CUTS
UNIV. OF WASHINGTON
GPP.

SUMMARY REPORT OF THE HEARINGS OF THE BUDGET COMMITTEE
February 10-27, 1976

Alternative #1 Cutting Where the University Is Going to Cut Academic Programs.

Of those unit heads commenting on this alternative a majority felt it a good one. Other units raised questions about whether it would indeed be possible to relate specific resources just to the specific academic programs being cut and whether it is appropriate for the library to discontinue the development of a good collection in a particular subject. One person noted that experience has shown that an academic program that is dropped this year may be added again next year. An extension of this alternative was made by one person who proposed reviewing the level of collecting being done in the various subject areas to be sure that the level of collecting matches the level of importance of the academic program in each instance.

Alternative #2 & 23 Reduce Hours of Opening

<u>During the Quarters</u>: The vast majority of those commenting on this alternative favored it, many stating that it would be good to make the tight budgetary situation in the Libraries openly evident to the users in this way. The Libraries should advertise the reason for the reduction, it was felt. There was a general favoring of allowing individual units flexibility in scheduling the open hours. Some units noted that to create an impact the reduction would have to be systemwide. One unit opposed a reduction stating that the Libraries shouldn't "take it out on the students." Another unit stated that the inconvenience to the user would far outweigh the saving achieved. Yet another unit, which felt that a reduction in hours was too extreme a measure, stated the flexibility in scheduling open hours might make a reduced schedule less unpalatable.

<u>Interim Hours</u>: With one exception, there was total agreement that cutting back to opening half days between quarters is desirable. This would allow the staff to work uninterruptedly on backlogged tasks. The unit opposing such a reduction said that there are very few users in that unit in the quarter breaks anyway. This measure would not necessarily effect cost savings unless student assistance was reduced during this period.

Alternative #3 & 8 Reduction in Resources Intake

Reports from units on the adequacy of their current book and serial budgets range from seriously inadequate and severely strained to adequate Many report that any cuts will badly hamper their ability to support academic programs, while fewer feel that limited cuts would be possible

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without damage. The units who support a reduction emphasize that the cuts should be made by not buying duplicates, translations, added editions, etc., so that total title intake is not reduced. Some suggest re-evaluation of the internal distribution of funds to ensure that any cuts are equitably distributed. The problem of having to support new programs without added funds was mentioned by several people.

Opposition to reduction in resources stems mainly from doubts that the library will be able to adequately support the curriculum and research and to provide needed service. Another concern is the fear that resource cuts may be counterproductive in the long run, because: 1) later purchase of missing items will be at high cost due to inflation and having to buy on the O.P. market; and, 2) many items will never again be available.

Support for the reduction of duplicate serials is universal, and $50,000 is seen as an attainable and worthwhile goal. A need was noted for some method to ensure that cancelled items are not reordered once the serials review project is completed.

Pressure on the Media Center to increase acquisition of materials in all forms makes reduction of the Media Center Resource Budget nearly impossible. Reduction in manuscripts acquisitions, all of which are donated, would save little in processing costs since there is normally a delay between the time arrangements are made for deposit of materials and their receipt. In addition, manuscripts reports a five-year processing backlog at the present time.

In summary, cuts in the resources budget other than through cancellation of duplicate and marginal serials, is generally seen as a last resort.

Alternative #4 Elimination of Gifts and Exchanges

Opposition to the proposal to eliminate all exchanges was universal since material received on exchange is available through no other channel and is valuable to the collection. Area studies, particularly Slavic Studies and the East Asia Library, depend heavily on exchange; its elimination would be a severe blow to collection development in those areas.

No one endorsed the complete rejection of all gifts since much valuable material is received in this manner, some of it available in no other way. However, a review of gift policy and strict limitation of gifts to those which enhance the collection was suggested by many people and universally endorsed. Specifically, one person suggested that only material published within the last ten years be processed. The acceptance of donations of unwanted items solely to provide tax deductions for faculty was questioned by several units as was acceptance of donations to help clean out faculty offices.

There is a clear call for firm application of a restrictive policy on acceptance of gifts.

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Alternative #5 Elimination of PL-480

Only four units, Acquisitions, Forest Resources, Political Science and Newspapers, report that the South Asian PL-480 program provides material of value to the collection. Most units felt that the quality of the materials received is low and that they could easily dispense with PL-480. They suggested that its usefulness be reviewed. Acquisitions, speaking for the South Asian specialist, pointed out that PL-480 is the primary means of acquiring materials to support South Asian Studies, and that PL-480 should not be totally eliminated so long as there is an academic program which requires its support. Should we do so, much of the same material would have to be purchased at a cost many times that of the PL-480 fee. Since it is clear, however, that PL-480 materials unrelated to South Asia Studies are unwanted in the collection, the program should be cut back, either by reducing the subject and language scope of shipments from the source or by greater selectivity of items to be cataloged, or both. Reduction of the PL-480 newspapers, which now number 29, many of them scarcely used, would ease the newspaper storage problem. Sub-basement space problems would also be partially relieved were the program reduced.

The PL-480 Middle East program is a new and much more limited program than that for South Asia. Since the materials, most of which are in Arabic, all support Middle East Studies and are almost entirely located in Main, no other unit is affected by this program or commented on it. Since it supports an existing teaching and research program, its elimination should not be considered unless the Middle East Studies academic program is eliminated. It is an economical means of acquiring and processing the materials needed for that program.

The Polish PL-480 program, too, is a limited one affecting few units except Slavic Section, so there were no comments on its usefulness. Again, the cost to buy items received on this program and needed in support of Slavic Studies, would cost many times the amount of the PL-480 fee. Elimination of the program would be uneconomical.

Alternative #6 Close Selected Branches; Redeploy Collections and Staff

Many more units favored this option than opposed it. The need for study of the given situation before any action is taken was affirmed by some units. Still other units noted that consolidation would not effect immediate savings because of the cost of moving and of changing records. It was observed by some that this is an opportune time for re-evaluation and for making changes that would be desirable in the long range. A comment was made that lopping off branches seems unrealistic.

Alternative #7 Close Selected Branches; Redeploy Staff and Leave Collections in Place, With Access by Page Service

There was general opposition to this alternative among those commenting on it. Some of the reasons given were: 1) some unique indexes would become unavailable; 2) the affected academic departments would oppose having space within their buildings used in this manner; and 3) it would be a poor use of space--the branch collection might rather be moved to a unit that is going to remain open and the space used for storing infrequently used materials. One person suggested that effecting shorter hours would be preferable to this alternative.

Alternative #9 Consolidate All Reserves in OUGL

From the wide response to this suggestion there was no definite conclusion. There were 10 "No" votes but 13 "Possible" votes and 3 "Yes" votes.

The "Possible" votes indicated reactions from questioning the feasibility in terms of actual savings in implementation to direct requests for a full cost analysis on the proposal including space, staff, hours and levels of service. The report from OUGL was inconclusive and although it gave some figures the analysis was again raising these same questions. Centralization of reserves would in many instances remove reference collections and general circulating materials from the immediate control of the parent unit.

Alternative #10 Reduce Automation Staff and Funds

No one voiced support for this alternative. Among those commenting on it, there was near-unanimous agreement that the usefulness of the acquisitions in-process print-out and the printed CSR ranges from helpful to essential. Two units stated a need to know the cost of these two products in order to evaluate the alternative. One person suggested that the Systems Group study operations in the various library units and recommend changes where appropriate to effect greater efficiencies.

Alternative #11 Where Possible, Reduce to One the Number of Librarians Per Branch

There was no support voiced for this alternative. Most of those speaking to it said they did not have enough information to make a judgment. One unit which lost one of its two librarians several years ago said that reference assistance suffered as a result. Another unit which lost a librarian at the same time said that the eventual hiring of classified staff member to augment the staff made a more appropriate mix of personnel.

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Alternative #12 Ask One Librarian to Supervise Two or More Branch Libraries

Only one person thought this to be a viable option. Of the others who commented on it, the majority opposed it, the rest stating either that they needed more information to make a judgment or that they simply could't give an opinion. It was noted that it would be impossible to do the book selection for more than one branch, time and subject comprehension being the limiting factors. One person felt that anyone placed in this position would find the administrative duties so time-consuming that meeting any other responsibilities would be precluded. One further drawback seen was that it would be impossible for a person to attain the subject comprehension and knowledge of the collections necessary to give good service if that person were responsible for more than one branch.

Alternative #13 Voluntary Reduction of Workweek with Salary Reduction

The results of a survey of all librarians on this alternative indicated 3 percent would take advantage if possible, 26 percent were mildly interested, 9 percent were generally interested and 62 percent would not take advantage (there were 82 respondents out of 105 surveyed). Many of those uninterested said that there would have to be a guarantee of a corresponding reduction in work or that they could not afford it financially. Units during the hearings generally supported the survey findings. Two persons said there was a mild interest by some individuals in units. Several units pointed out difficulties that would develop in a unit's ability to operate if several or even one person elected to take this course of action.

Alternative #14 Voluntary Salary Reduction for All

A majority expressed the opinion that librarians are already underpaid and we should not choose such an alternative unless the University as a whole went this way. Whether this was legally possible for classified staff was raised. Two or three units suggested the possibility of voluntary leaves of absence. Two units stated that this alternative was impossible as long as there are persons on the payroll now who are contributing marginally.

Alternative #15 Freeze All Vacancies on a Specific Date

Generally there was a negative reaction to this alternative. However, there was more acceptance if the University as a whole imposed the freeze. In either case there was general agreement that a freeze would have to be selective. In some situations a waiver would have to be possible or staff replacement would have to be possible. To impose a freeze within the Library unilaterally would be asking too much. The idea that a freeze now would allow some flexibility if positions had to be cut was seldom mentioned.

Alternative #16 Reduce Administrative Staff
Alternative #17 Reduce Director's Office Staff

The overwhelming response was that nothing could be said since the needs of these two groups were not known to the units responding. There was almost total support of continuing recruitment for an Assistant Director for Public Services. Two units did mention that support staff has increased in the Administrative Offices with little clear explanation of the causes or needs.

Alternative #18 Early Retirement of Staff

Those addressing themselves to this alternative felt it was all right if it was possible, but it does not address a unit's operational needs. Redeployment of staff would be necessary. Generally, there was little comment on this alternative.

Alternative #19 Capture Holding Fund

Since the Holding Fund is being used to support the student raises, units agreed that this alternative had already been exhausted.

Alternative #20 Further Reduction in Operations

Nearly every unit reported that operations--supplies, equipment, and printing--are already reduced to the point that further cuts are virtually impossible. One unit, however, suggested that equipment purchases be further reduced, if necessary, though equipment reductions this year pose a crisis for another unit. Two people recommend complete elimination of all travel, a move seen as detrimental to staff development by another. Reduction of the central microfilming fund which primarily supports filming of newspapers would cause a serious storage crisis in the newspaper/microcopy center within a year.

It seems clear that budget reductions will have to be found in areas other than operations.

Alternative #21 Consolidate Science Reading Room Activities into Circulation and Reference and Consolidate Science Reading Room Collection into Main

The response to this alternative was inconclusive. There were statements that insufficient information was available for full and complete information on cost and service impact. It was regarded by several as a long-term possibility. Another frequent suggestion was to investigate the feasibility of combining the Science Reading Room collection and service with other science branches into a larger unit, but the suggestions on this were varied and inconclusive.

Alternative #22 Consolidate Suzzallo and OUGL Reference

This alternative was not included on the original list sent to units but emerged out of a suggestion resulting in a less consistent response. The majority responding agreed it could be examined as with other suggested cost and service impact statements on units. Again a long-term project not immediate.

Alternative #24 Serials Reconsolidated with Acquisitions and Cataloging

This alternative also arose out of the interviews and was not included on the original list. The responses were therefore five with only one clear "Yes" vote. Other comments were negative, no response, or "could be examined."

Alternative #25 Proliferation of Committees

There was almost unanimous agreement that there are too many committees. However, only one unit suggested they all be discontinued. Most units indicated that librarians on their own were limiting their participation on committees. Most thought that some committees should not be formed in the first place. Many expressed the usefulness of the councils. It was generally agreed that committees had to be continued but that caution should be exercised in forming too many and that librarians should be selective when joining. It was also expressed that committee work is the only avenue available for interacting with colleagues and for making staff feel that they are not working in a vacuum. One unit said committee work does not affect the operation of the unit.

Alternative #26 Charge Alumni for Use of Library and Discontinue Service to Non-Campus Users

Of the relatively few units commenting on this option, opinion was evenly split on whether or not it should be utilized. The emphasis of these comments was directed at discontinuing service to non-campus users. The resultant lessening of demands on the collection and service would vary markedly from unit to unit because of the great variation in the number of non-campus users. One person noted that it is difficult to identify non-campus users, while another who opposed the option said that it is good PR to serve that group.

Alternative #27 Stop Recruiting for an Assistant Director for Public Services

Approximately two-thirds of the units made a specific response to this alternative. Of these, four-fifths opposed it, saying that it is necessary to have an Assistant Director for Public Services (ADPS). The rationale given included the following:

There is a need at the top administrative level for an enthusiastic advocate for public service who will push for new programs and funding; it is necessary to have the public service function focused at the top level in one person who has systemwide authority; the branches have not had proper representation at the top; public services are now utterly adrift. Three of the people who opposed this alternative spoke in terms of the long-run, but not necessarily an immediate, need to fill the position, given the current budgetary situation. One person said that the selection of a new ADPS should be postponed to allow the new director to do the selecting.

Those favoring the stopping of recruiting stated that since we have gotten along for a long time without an ADPS, we should be able to continue so, and the autonomy created thereby among the public service units is good.

Several people spoke of the impropriety of filling the position while the Libraries are still paying the salary to the person who was removed from it.

One person proposed that there not be an ADPS, and that the science branches report to the Assistant Director for Health Sciences and the non-science branches to the Assistant Director for Undergraduate Library Services.

Alternative #28 Eliminate OUGL; Use Building as a Reserve/Media/Study Facility or as a Science Library

The only really serious comments on this alternative were that the building is not properly located to serve as the library for the sciences and its design lends it only to being an undergraduate library.

Alternative #29 Combine Technical Services and Public Services and Rotate the Staff Members

The people commenting on this option were almost unanimously of the opinion that it would not save any money, but, rather, might cost more than the present system in terms of productivity.

Alternative #30 Program Cuts vs. a Single Rate Across-the-Board Cut

Among those people stating an opinion on this issue there was a unanimous expression of opposition to a single rate across-the-board cut being used to accommodate the budget reduction. It was felt that this would be an uneven, unfair method, because some units are currently funded at better levels than others. There should, therefore, be an examination of the current levels of support in each unit before any decisions on size of cuts are made. It was thought by one unit head that it may be determined that some units should have their budgets increased, while others are decreased.

Some of the units favored program cuts, which should be visible, dramatic and well publicized. One further suggestion made was that there be consideration given to a combination program/percent cut.

Alternative #31 Centralized Training

Most units expressed an interest in this alternative; however, most cautioned that the training would have to be very basic since routines are unique in each individual unit. Units were generally negative toward the idea of contributing toward the development of a centralized training position since the assessment was unknown and the resulting benefits were unknown.

Budget Review Committee
29 March 1976

Distribution: Director of Libraries
Division Heads
Branch Librarians
Library Administrative Council
Head, Science Reading Room
Head, Newspaper/Microcopy
President, ALUW
Chair, ALUW Travel Committee
Systems

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BRC:kd

INTERNAL PROCEDURE FOR DETERMINING ALLOCATION OF FUNDS FOR LIBRARY RESOURCES IN THE GENERAL LIBRARY SYSTEM

A Suggested Guideline

University of Wisconsin-Madison

1 Dec. 1976

PROCEDURES-RESOURCE ALLOCATION
U.WISCONSIN-MADISON
4PP.

RATIONALE:

To enhance good management practices and to minimize effects of recent budgetary constraints, it is appropriate to devise an improved procedure for allocating funds for library resources. This matter is not simple, since many factors are involved, and totally objective decisions are not always possible. Difficult and important decisions that must be made periodically include the manner in which funds are distributed: 1) between the area encompassing physical and biological sciences and the area encompassing social sciences and humanities, 2) among the various area studies programs (Ibero-American, East Asian, Slavic, etc.), and 3) between books and journals. It is extremely important that decisions about these and other similar questions be arrived at by a sound, defensible procedure. This involves identifying all factors judged to have a legitimate bearing on the manner in which library resources are allocated; routinely gathering necessary information from users, campus administrators and campus libraries; and utilizing this information to determine how available funds for library resources will be allocated.

PROPOSAL:

The Library Committee of the University of Wisconsin-Madison, after considering the comments of many interested parties in the General Library System, recommends adoption of an internal biennial procedure, which is intended to help assure that resource funds for the General Library System are allocated in the best manner possible.

051

The Library Budget Advisory (LBA) Committee

The recommended procedure, which is outlined on page 4, requires establishment of a Library Budget Advisory Committee ("E" on page 4). This Committee shall consist of the Chief of the Reference Division, the Coordinator of the Branch Libraries, one bibliographer, one branch librarian, and the Director of Libraries or his designate who will Chair the Committee. Neither the bibliographer nor the branch librarian shall serve successive terms.

The LBA Committee shall have the following responsibilities:

1) Overseeing the process which will culminate in a recommendation concerning how available funds for library resources will be allocated. This will involve: a) preparation of a written document describing the criteria used by the Committee in arriving at its recommendations (this document must include but should not be limited to resolution of the three issues mentioned in the "Rationale" section). Since this document impacts heavily on matters of concern to the faculty, it is appropriate that the Library Committee be consulted before it goes into effect, and reconsulted when any substantive changes are made by later LBA Committees. b) Notifying persons in writing as to when, what, how, and to whom they are to report with respect to supplying information needed by the Committee. (This would follow a routine biennial scheduled after the first 2-year period).

2) Preparing a comprehensive written report containing recommendations and justifications concerning how library resource funds should be allocated.

General Operating Procedure (letters conform to chart on page 4)

A) Faculty advisory committees or faculty advisors shall respond on questionnaires to the appropriate Bibliographer, Director, or Branch Librarian concerning faculty attitudes about collection development policies, budget inadequacies, overall library services, etc. If faculty advisory committees or

faculty advisors do not exist, the Director of Libraries may suggest to appropriate Deans that such committees or advisors, whichever is deemed more suitable, be appointed. The most complex example occurs when one bibliographer serves many departments. In this instance, it is envisaged that a faculty advisor from each department being served by the bibliographer will respond to the questionnaire. When faculty input is collected in the manner stipulated, faculty concerns should be fairly represented.

B) Each Dean or Department Chairperson will respond biennially to a questionnaire from the appropriate librarian concerning forthcoming changes in academic programs that should be considered when allocating library funds.

C) The Bibliographers, Branch Librarians, and the Director of the Engineering Library will utilize the information gathered in (A) and (B) as an aid in preparing budget recommendations that will be discussed at either a meeting of the Bibliographers or a meeting of the Branch Librarians.

D) Bibliographers will meet as a group to determine the percentage distribution of resource funds administered by the Bibliographers. Similarly, the Director of the Engineering Library and the Branch Librarians will meet as a group to determine the percentage distribution of resource funds administered by this group. This information will be submitted to the LBA Committee using a standard format.

E) The LBA Committee will prepare, based on information from the Bibliographers and the Branch Librarians, a report containing recommendations with respect to allocation of funds for library resources. This report will be forwarded to the Director of Libraries.

F) The Director of Libraries will report to the Library Committee concerning the report of the LBA Committee. If the Director desires to make major changes in the recommendations, this will be done only after consultation with the LBA Committee and the Library Committee.

General Library System

University of Wisconsin-Madison

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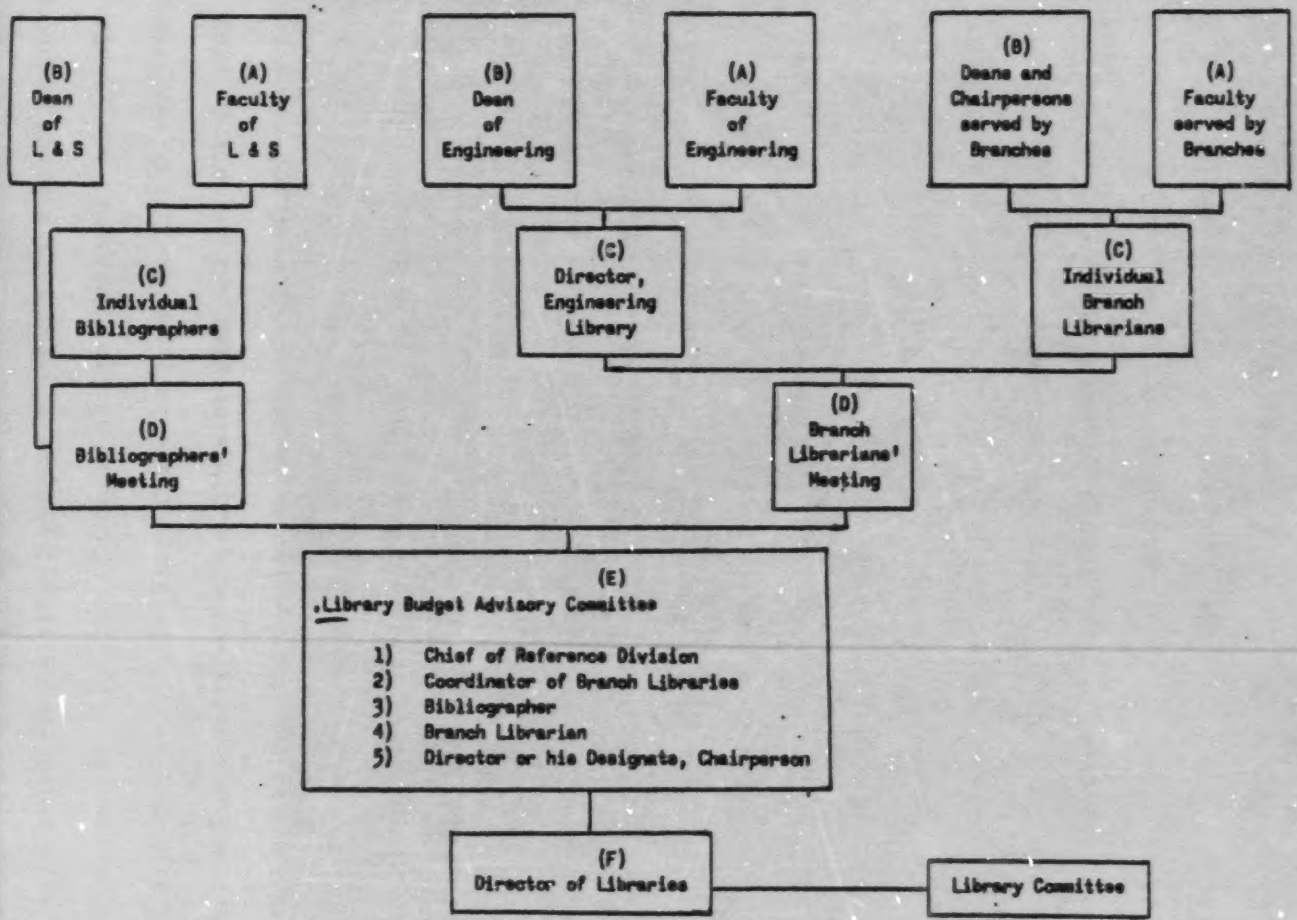
(B) Dean of L & S
(A) Faculty of L & S
(B) Dean of Engineering
(A) Faculty of Engineering
(B) Deans and Chairpersons served by Branches
(A) Faculty served by Branches
(C) Individual Bibliographers
(C) Director, Engineering Library
(C) Individual Branch Librarians
(D) Bibliographers' Meeting
(D) Branch Librarians' Meeting
(E) Library Budget Advisory Committee
1) Chief of Reference Division
2) Coordinator of Branch Libraries
3) Bibliographer
4) Branch Librarian
5) Director or his Designate, Chairperson
(F) Director of Libraries
Library Committee

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PROCEDURES-RESOURCE ALLOCATION
U.WISCONSIN-MADISON
12PP.

ALLOCATION OF BOOK FUNDS

Memorial Library *

As the largest library in the Madison Campus Library System, and, in fact, in Wisconsin, the Memorial Library is principally a research collection for and, in effect, the laboratory of the humanist and social scientist, with unique resources over the broad range of scholarship which must not be allowed to decline. This mission in the main determines its bookstock and the way it allocates and expends its book funds. As a general library and the designated state library resource, it collects materials in its area to satisfy campus needs and those of Wisconsin through its reference and statewide interlibrary loan service (WILS). It functions as well as a node in regional and national interlibrary loan networks.

Though their emphasis is, then, on the social studies and humanities, Memorial Library book selectors buy materials in areas of interest to all schools and colleges on the Madison Campus. For example, interdisciplinary materials such as transactions of various national academies of science and certain journals are collected and housed in the Memorial Library. Science and technology are brought in by PL480 and cooperative foreign acquisitions programs, and by at least one blanket order. Land tenure materials acquired by Memorial book selectors are of interest to students and scholars in Steenbock and Law--and the list of interdisciplinary illustrations could be extended indefinitely.

Certain other factors must be taken into account in enumerating the demands made on Memorial Library book dollars, though they are not formally listed among the criteria below. Replacement of deteriorating books concerns all bibliographers, altnough the current insufficiency of the budget makes it difficult to address this problem, except for the most desperately-needed titles. Bibliographers, particularly Humanities and Social Studies Bibliographers, have an obligation to provide undergraduate teaching materials in addition to essential research titles.

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* Reference throughout this document to "Memorial Library" does not include the Mills Music Library, now housed in the Memorial Library building.

In the process of allocating funds, these needs must not be forgotten.

A final factor to be stressed is the utter dependence of most social scientists and humanists on the resources of the Memorial Library, which are the equivalent to them of the scientist's laboratory and its equipment. Up to the present, the strength of the Memorial Library's collections has been a significant part of the measure of the University's greatness. The stature of the Library in the future depends on adequacy of funding and the proper allocation of these moneys.

The following criteria, determined after much discussion and consideration, are arranged in order of significance which provides a generalized weighting of elements in the allocation of the book budget. The bibliographers felt that overstrict adherence to the demands of quantifiable data (however essential that data might be in weighing allocation elements) might have harmful effects on certain important collections and have tempered the tyranny of numbers with judgment and practicality. Some criteria are objective, though capable of many interpretations; some are highly subjective. They have all been used to arrive at a proposed percentage distribution of the Memorial Library book budget acceptable to the book selectors which can be re-evaluated annually.

1. Status of the teaching and research program on the Madison Campus as determined by
   - (a) Number of faculty, excluding TA's
   - (b) Number of honors students, upperclassmen, graduate students, postgraduates
   - (c) Number of courses, 300 and up
   - (d) Number of degrees granted
     - (1) Bachelors [?]
     - (2) Masters
     - (3) PhD's

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Faculty statistics available from departments. Tabulated figures on student enrollment available from Registrar's Office. Courses from the current University timetable as indicated by the bibliographers. Number of degrees granted secured from Registrar and Graduate School. This criterion provides a comparative measurement of the campus clientele of each area and the course load for which research materials must be provided.

2. Comparative use of and demands on the collection as determined by
   (a) Circulation on the Madison Campus correlated with size of collection
   (b) Use by WILS
   (c) ILL items loaned
   (d) ILL items borrowed
   (e) Lost books
   (f) Recalled books

   Correlation of use and size of the various elements of the Memorial Library collection as determined by the Circulation count recently completed and the last shelflist measurement statistics. WILS and ILL elements from statistics derived from counts of titles involved. Lost book statistics from green cards supplied by Circulation. Multiple use of books from special reports sent the bibliographers from Circulation. A criterion which may require careful re-evaluation unless it is to operate to the extreme detriment of smaller collections in specialized areas.

3. Status of the collection
   (a) Beginning collection
   (b) Strong collection
   (c) Accessibility of other collections
      (1) In Wisconsin
      (2) In CIC

057

Measurement of collection status by the appropriate bibliographer, by any regional or national assessments. Assessments of strength or weakness by fund-granting sources (foundations, federal programs). Funding needs tempered by accessibility of similar collections nearby. Includes elements of building on strength and strengthening beginning collections.

4. Amount of current book production within a subject or area according to latest UNESCO statistics, where available.

In instances where UNESCO figures are not available, the best available data will be used. This criterion insures that proper consideration will be given to the comparative levels of book production in particular areas, and that as much of a gesture as possible is made toward "sufficient" coverage.

5. Need for retrospective materials (out of print, reprint, microform)

Data available from studies which indicate use of retrospective materials in various disciplines, how far back materials are in general use, etc. Since data is sparse and generalized, this criterion may require subjective judgments by individual bibliographers. In discussions, it was stressed that the significance of certain retrospective materials should not be underestimated, and that the need for a title should be based on its value to and utility in the collection, not whether it is a current publication, a reprint, a microform, or a book secured on the antiquarian market.

6. Average price of a book in U.S. dollars in an area or discipline as determined by LC price statistics or other available pricing sources.

In areas where LC price figures are not available, the most adequate data will be supplied. This criterion introduces the element of comparative cost of books and insures that those bibliographers whose materials are most expensive will have this taken into con-

sideration in their allocations.

7. Availability of blanket orders and cooperative and government programs such as PL480

Bibliographers must assess the ability of blanket orders and cooperative and government programs to meet the needs of their acquisitions programs, and be able to expend their funds in these ways or not as they see fit.

8. Cultural heritage of Wisconsin

Recognition of ethnic and other materials which are in demand in Wisconsin and the comparative responsibility of bibliographers to supply these materials as part of the Memorial Library's responsibility as a statewide resource.

Part II: Applying the criteria

After extensive discussions of the criteria and an evaluation of their potential application to budgetary procedures based on a preliminary compilation, the bibliographers have reached the following conclusions:

1. The criteria which have been developed serve as potentially useful tools in the budget-making process; but because the latitude of error is so wide, they should not be applied rigidly according to any set formula, such as the ratio of the number of students in courses to the book budget. Instead, they should be sufficiently flexible to reflect unmeasurable but still significant aspects of each area or subject and the needs and complexities of the process of collection development.

2. The criteria as developed refer specifically and exclusively to the division of book funds allocated to the Memorial Library, even though they may, with suitable modification, be useful for other budgetary purposes.

3. The criteria are intended to be applied to the division of the total book funds allocated to the Memorial Library. That is, the three funds presently designated as "Blanket Orders," "US Blanket," and "Current Non-Blanket" (Discretionary) should be combined and treated as one entity, the "Memorial Library Book Budget." There should, therefore, be no distinction between in-print and out-of-print funds.

4. Individual bibliographers will decide whether or not to continue or establish blanket orders or to participate in government programs such as "PL480." Each bibliographer may use allocated funds for blanket orders with general or specialized dealers (with specifications written to meet that bibliographer's needs), or several bibliographers may participate collectively in a generalized blanket order toward which each would either contribute funds or trade-offs from other blanket orders.

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5. Funds added to the Memorial Library Book Budget in the course of a fiscal year and at any time after the initial distribution of the budget should be divided according to the same percentages allocated to the bibliographers at the start of each budget year (see below). Proposals for allocation of these additional funds in other than a proportionate division would be a decision of the bibliographers acting as a committee of the whole and subject to the majority and the concurrence of the Library Administration.

6. It is proposed that the matter of resource allocation, application of the criteria, and possible re-distribution be reviewed annually at a bibliographers' meeting, preferably in March or April of each budget year. Such timing would provide ample practical experience with the current budget and still not be too late for amendment during that budget year.

The bibliographers reviewed a preliminary document which enumerated some of the criteria in tabular form, and determined that the level of university and library activity divided itself into three categories: (1) social studies, (2) humanities (European and British-American), and (3) the area studies and history of science programs. This decision and the availability of preliminary statistics on the criteria made it possible to arrive at recommended percentage levels for each of these areas: social studies 31.5 o/o of the total Memorial Library Book Fund; humanities (European and British-American) 27.5 o/o to be divided as the two bibliographers choose; and 41 o/o to be divided among the area studies bibliographers and the history of science bibliographer with the following percentages recommended: Ibero-American 9 o/o; Slavic 8.5 o/o; South and Southeast Asian 7 o/o; East Asian 8 o/o; African-Middle East 5 o/o; and History of Science 3.5 o/o.

There are two exceptions to the above: first, funds for the Reference Collection in the Memorial Library will not be considered within the proposed

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percentile budget allocations. Funds for Reference should be allocated before moneys are set aside for distribution among the bibliographers. As far as possible, money should be allocated on a "sum sufficient" basis for each budget year. For the 1976/77 budget year, the amount arbitrarily would be that of the 1975/76 budget plus ten per cent. If that proves insufficient, first priority should be given to allocation to General Reference when new funds are divided. A system of consultation with appropriate bibliographers and with the group as a whole should be evolved for the purchase of large or expensive items (other than such works as general indexes and encyclopedias). Second, the question of moneys presently segregated for exchange will be dealt with before the allocation of the 1976/77 book budget.

Finally, additional commitments such as blanket orders newly placed will not affect the above percentages; funding should be brought into the Memorial Library budget.

THE SERIALS REVIEW COMMITTEE: PURPOSE & PROCEDURES

Revised September 1976

PROCEDURES-RESOURCE ALLOCATION
U. OF HAWAII
8PP.

I. PURPOSE

The purpose of the Serials Review Committee is to achieve and maintain quality and balance in the Library's serial collection, and to see that this collection supports the teaching and research functions of the University as effectively as possible within the limits of available resources. It attains this objective by serving as a reviewing and coordinating body, and by making recommendations to the University Librarian concerning the relative balance among the various parts of the collection and desirable levels of financial support.

The Serials Review Committee will review all serial titles recommended for selection, including gift and exchange items, and also titles recommended to be purchased via air mail. See Section IV.B below for types of serial orders to be reviewed by the Committee. For informational purposes the Serial Librarian regularly informs the Committee of serial titles (Western Languages) placed by the Asian, Pacific, Hawaiian, Government Documents and Law Collections. Serial orders placed by these collections are not subject to review by the Committee.

II. COMPOSITION

A. Eight members comprise this Committee. They are:

1. Head of Public Services - chairperson
2. Sr. Humanities Bibliographer
3. Sr. Social Sciences Bibliographer
4. Science Bibliographer
5. Head of Undergraduate Library (or a designated representative)
6. Elected representative from Hum/Soc Sci Ref
7. Elected representative from Sci/Tech Ref
8. Serials Acquisitions Librarian (serves as secretary)

B. The Vice-Chairperson shall be elected from the Committee once a year in September.

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C. Meetings. The Committee should meet at least once a month during the regular Fall and Spring semesters. During the summer months, meetings will be on an on-call basis. Special meetings can be called by the chairperson or at the request of two Committee members. Meetings should not be longer than 1½ hours.

D. Quorum

1. Two thirds of the members, five members, shall constitute a quorum.

2. The three bibliographers or their designated representatives should be present when funds are divided or for any other major policy decision.

E. Voting. All members, except the chairperson who votes only in the case of a tie, have equal voting rights. A simple majority vote of those present constitutes approval or disapproval.

F. Meetings are open to any librarian who wishes to attend.

III. JUSTIFICATION AND CRITERIA FOR THE SELECTION AND CANCELLATION OF SERIALS

A. The selector is responsible for providing, when relevant, the following information:

1. Basic information: Language, format, subject, number of subscribers.

2. Presence or absence of special features: Editorial comment, Advertisements, Notes of current topics, Indexes, Abstracts, Book Reviews, Illustrations.

3. Where is the serial indexed? Abstracted? How frequently is the serial cited in the literature of its field? How basic is the serial to its subject field? Predicted use of the serial? How frequently is the serial requested on interlibrary loan?

4. Credentials of editor or editorial board. Is the serial refereed? Who writes for the serial? Their qualifications? Does the journal contain original contributions? Accuracy? Objectivity? Currency? Predicted longevity of the serial.

5. Are reviews of the serial available? Has a subject specialist been consulted as to the value of the serial? Has the subject department been consulted? Although a written faculty or student request is not required, the Committee feels that

an effort to involve the faculty in making recommendations to the Committee is desirable when appropriate and it is preferred that the faculty do so on the justification section of the Serial Request form, or by an attached note. Faculty approval is not required for reference orders.

6. Cooperative Acquisitions: Can this title be effectively utilized if available from other libraries in the state? If the serial is available from the Center for Research Libraries or other out-of-state sources, is it needed for the UH Library?

   CRL holdings can be checked in the following sources:

   Ref Z6945 C5331 — Chicago. Center for Research Libraries. Center for Research Libraries catalogue: serials. Chicago, 1972. 2v.

   Ref Z6945 C85 — Chicago, Center for Research Libraries. Supplementary List of journals accessible through the Center for Research Libraries. April 1976. 116 p.

   Sci Ref Z7403 M615 — Rarely held scientific serials in the Midwest Interlibrary Center (now CRL) Chicago, Midwest Interlibrary Center. 1963 and 5 supplements.

   The above, however, do not list all titles which are currently available from the British Lending Library.

   It is not necessary to check CRL holdings when presenting monograph series, gift and exchange items, titles to be added to the undergraduate collection and highly used titles which are of primary importance to the library.

B. Whereas the selector considers the title from the perspective of a particular subject area, the Serials Review Committee reviews titles on the basis of the following criteria.

   1. Does the serial fit in with UH educational and research goals?

   2. How does it relate to the total needs of the Library's collection? What is its purpose? Its intended audience? Is it too specialized or too popular? Is it appropriate to the depth in which the Library collects in this subject area?

   3. Does it contribute to a balance within the subject area?

   4. Is the serial more appropriate for the undergraduate or special collections?

   5. Does the committee need further information from the selector before a decision can be reached?

6. Have the appropriate persons been consulted, e.g. for interdisciplinary and reference titles?

7. Is the cost commensurate with the library's need for the title? Processing costs as well as subscription price are considered.

IV. PROCEDURES

A. A serial request form has been designed (copy attached), which includes information regarding basic bibliographical data, justification for request of action, identity of initiator, holdings of CRL, backfile to be ordered, order/bind code, and action taken by the selection officer and by SRC.

1. The price of monographic series should be based on the average number of volumes published per year, i.e., if four volumes are published per year, the cost is that of all four volumes and not only that of one volume.

2. The order/bind code should be assigned for all requests by the selection officer. The explanation of the code is on the back of the form.

B. Types of new serial standing order requests to be reviewed:

1. Periodicals.

2. Monographic series (continuations, cat. seps., anals), published at four years or less intervals.

3. Supplements of a continuing nature.

4. Memberships.

5. Blanket orders (A detailed justification must be provided).

6. Regularly published congresses held at four years or less intervals.

7. Loose-leaf services.

8. No longer OIP's (No longer included as part of the main series or membership).

9. No longer free serials—formerly received as a gift or on exchange.

10. Suspended titles which resume publication.

11. Reinstatement of standing orders which were cancelled, whether in error or not.

12. Special order handling for annual publications which are to be ordered every two or three years, instead of annually.

13. Free serials to be obtained as gifts or on exchange.

a. Bibliographers and selectors will review free serial titles prior to presentation to the SRC.

1) Serials with "no records slips" can be submitted.

2) Titles received directly by the selector should be checked against the card catalog before being submitted to the committee.

b. Requestor will submit potential gift and exchange titles to SRC for approval before G & E writes about the feasibility of establishing a gift or exchange program. If it is discovered that the library will have to pay for a subscription, the title must be resubmitted to SRC if requestor wants a current subscription.

c. A justification should be given on the serial request form, including indication of the order/bind code. Criteria for gift and exchange material should be the same as for paid subscriptions.

d. PL480 and NPAC titles are excluded from the above procedure.

14. WIP's, unnumbered series, and closed serial orders will not be reviewed by the committee.

C. New subscriptions.

1. Request may originate from faculty, librarian, students, or member of the community.

2. Request referred to appropriate selection officer for recommendation/justification on the serial request form. The selection Officer is responsible for providing as much bibliographic information as possible including justification of action recommended. For reference titles, request forwarded to the respective reference unit head (i.e., Humanities & Social Science, Science & Technology) for his recommendation.

The selection officer or reference unit head places the request on the two designated shelves for SRC next to Mr. Fristoe's office, one week prior to the next meeting, by 4:00 p.m.

3. SRC members will review the requests on the shelves prior to the meeting. If the request is approved, the member puts his initials on the serial request form. If the request is questioned, the number puts a question mark next to his initials.

4. Request goes to SRC which evaluates it according to the guidelines established in Part III with regard to the Library Budget.

a. To save time, the committee will discuss only requests which have been questioned. Titles which have been unaminously approved in advance will not be discussed.

b. If the request is approved, by majority vote, the order will be given to the Serials Acquisitions Librarian.

c. If the request is rejected or deferred by majority vote, the "serial request" form will be returned to the selection officer and/or the reference unit head. The committee will provide specific reasons for rejection or deferral. Reason will also be noted in the minutes. The selection officer will forward the serial request form back to the initiator.

d. The request may be resubmitted by the selection officer with further justification, or he may personally attend the meeting to explain his request.

D. Cancellations

1. Request may originate from the faculty and/or librarians. Any person/body initiating cancellation must include justification for the cancellation.

2. Request referred to appropriate selection officer(s). Selection officer fills out cancellation card (copy attached), and sends it to the Serials Acquisitions Librarian, who provides information regarding holdings, order information, and payment record. Card returned to selection officer who notes the reason for the cancellation on the back of the cancellation card.

a. Cancellation of reference titles should be referred to the reference unit head.

b. The selection officer is responsible for checking with Eleanor Au about planned cancellations of government serial publications, to see if she agrees with the cancellation and if she wants the backfiles.

3. Disposition of backfiles:

a. For interdisciplinary journals, all of the appropriate librarians should be consulted before a decision on disposal is made.

b. Before a backfile is disposed, the selection officer should check to see if CRL holds the title or not, and if the title is available elsewhere locally. Generally, if there is a backfile of five years or more, it should be kept.

4. The cancellation card with an issue of the title should be placed on the SRC reviewing shelves next to Mr. Fristoe's office, one week prior to the next meeting, by 4:00 p.m. At the beginning of the fiscal year, the one week requirement should be flexible in order to facilitate rapid cancellation.

5. The request goes to the SRC which evaluates it according to the guidelines established in Part III. Two additional criteria should be considered: 1) Holdings. Does the Library have a complete file or long run, or broken files; 2) Is the title available in microform/reprint edition and can it be purchased at a later date?

   a. If the cancellation is approved by majority vote, the cancellation card will be given to the Serials Acquisitions Librarian for processing.

   b. If the cancellation is rejected by majority vote, the cancellation card will be returned to the selection officer with explanation. The selection officer will inform each initiator of the action taken and will retain the cancellation card within his department as a record of the cancellation request.

   c. The SRC will notify Technical Services which cancelled titles are to be reported to CRL.

6. Each fiscal year SRC will determine the percentage of credit to be given for cancellation. Cancellation credit will be transferred to the appropriate new serials fund on a quarterly basis. Credit will be assigned in a flexible manner, not strictly by call number. (To be elaborated).

E. Substantially changed titles policy.

When a currently received title undergoes a substantial title change, e.g., changes in title, merges with another title, splits into different titles, ceases and is superseded by a new title, etc., and fulfills either of the two guidelines listed below, it will be reviewed by SRC.

   a. The new title is a new bibliographic entity that reverts to a vol. 1 numbering.

   b. The new title has 50% or more price change and the price increase is over $5.00.

1. When the Serials Acquisitions Librarian receives this type of material from Serials or Order, he will forward the material to the appropriate bibliographer or selection officer for a decision on the acceptance or cancellation of the new title.

2. The bibliographer or selection officer will forward his recommendation to the SRC.

3. SRC will review and note its action on the flag accompanying the material. The material will be returned to the Serial Acquisitions Librarian for processing.

F. Transfers. All serial transfers between collections need the approval of the Head of Public Services.* Although not subject to review by the committee, all transfers will be noted in the SRC minutes.

G. Funding.

1. The fund numbers for new serial orders will be assigned according to the department making the request. In cases of interdisciplinary titles, the cost can be split.

2. The general reference serial fund will be used for reference tools which cover two or more broad subject areas. On the basis of needs presented by the reference departments the committee will set aside an amount for this purpose.

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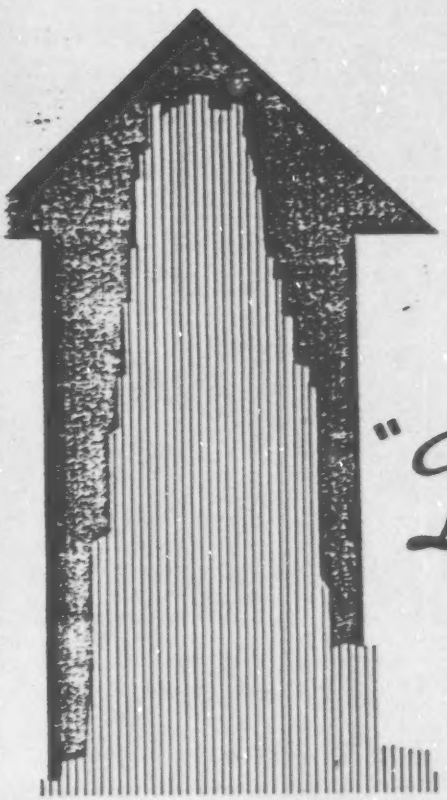
*If there is a question he will consult with the Committee

EXTERNAL FUND-RAISING
U. OF PITTSBURGH
25PP.



"Dollars that make the difference..."

UNIVERSITY OF PITTSBURGH · LIBRARIES

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Introduction

Great civilizations and significant cultural movements, from Alexandria to the Vatican, have created great libraries.

But it is axiomatic that a library is the very heart of a university.

The first university in this country, in fact, was organized around a gift of Old World books from a group of clergy in the Massachusetts Bay Colony.

And today there is no surer index to the quality of an institution of higher learning than the quality of its library: its collections mark the depth and breadth of the institution's scholars; its inadequacies can stultify their work.

The library is where the undergraduate student first practices the enterprise of scholarship, sorting through the accumulated evidence on a topic to present his or her own first, tentative, independent conclusions. Perhaps this is why students so often retreat there to study — not only because of the data on hand, but because nowhere else on campus are they more completely immersed in the mood of intellectual life.

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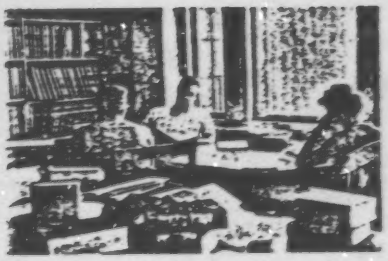

For the more advanced scholar, the library is the mother lode from which may be mined his or her contribution to the advancement of civilization's wisdom. For the humanist, it frequently is the only source; for the natural scientist and the social scientist, the foundation on which to build; for the physician, the means of knowing what has gone before and what is unknown, the guarantor against repetition of past errors while venturing into the future.

The modern university library also serves other functions. It is a place where people come in contact with human culture through photography or recorded music. It may be a repository for audio-visual and other materials in an electronic self-learning center, where students can independently instruct themselves in some portion of a curriculum. The library staff often provides slides, films, projectors, graphic services, and other instructional materials to faculty teaching courses.

And, of increasing importance — because the vast increase in the production of human knowledge has made it impos-

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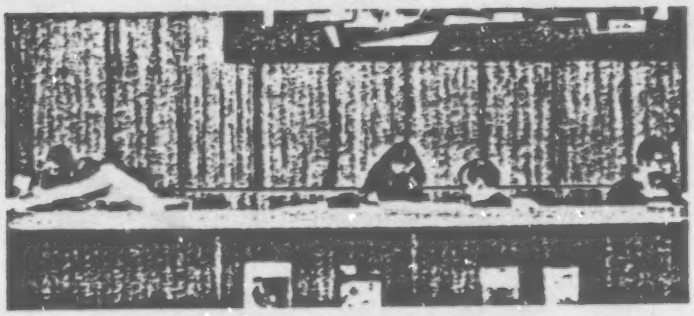
sible to collect it all in one place — the library may serve as the access point for discovering the location of some distant corpus of data through the use of modern, computerized information retrieval systems.

For all of these reasons, the library inevitably is among the first targets for the University of Pittsburgh's fund-raising campaign for the 1970s. No other activity is more crucial for the University, or more needful of support. No other gift will allow a donor to have a more pervasive impact on the quality of institutional life.



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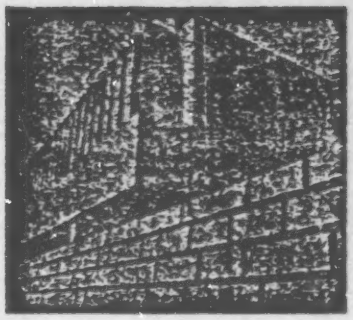
University of Pittsburgh Libraries



The University of Pittsburgh library system consists of the main library on the Oakland campus and seven separate school libraries for engineering, public health, business, public and international affairs, law, the health professions, and the graduate library school. In addition, smaller collections are maintained by eight academic departments with specialized needs, such as music, mathematics, and fine arts. Limited undergraduate collections also are located at the University's regional campuses in Johnstown, Greensburg, Bradford, and Titusville, Pennsylvania.

In total, the University library system's collection amounts to some 1,664,200 volumes and 602,000 "microforms" — that is, textual materials preserved on some form of miniaturized film to conserve storage space, save costs, provide access to original materials, or to acquire copies of unique documents.

The entire system is coordinated from the handsome Hillman Library located on the edge of Schenley Plaza in Oakland.

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Hillman itself houses more than half of the system's collections of printed materials ("books" is not an adequate description for collections that also might include periodicals and journals, government and other documents, pamphlets, and other publications). The collections in this one location total some 860,000 volumes and 555,000 microforms.

Within Hillman, there is the main campus's undergraduate collection — the material most frequently used by the almost 10,000 full-time students and 6,000 part-time students in the University's College of Arts and Sciences, School of Education, and School of General Studies.

At the graduate level, Hillman's collections serve nearly 2,900 full-time and 3,400 part-time students in the arts and sciences, business, education, public and international affairs, and social work.

And, of course, the library must meet the intensive need for research materials of the University's more than 2,000 full-time and 1,000 part-time faculty — themselves scholars on a more advanced level of expertise.

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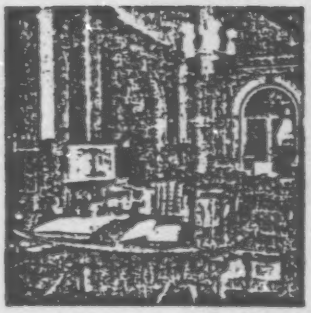

The library's collections are a bibliographic parallel to the University's own academic interests, which are wide-ranging. Within the Faculty of Arts and Sciences alone, for example, there are some 30 academic departments, ranging from anthropology to speech and theater arts, each of which must be supported by materials of both a general nature in the discipline and, more extensively, by materials that relate to the particular aspects of each discipline in which the University of Pittsburgh specializes. The University also has a number of "area" programs that involve scholars from several disciplines, and these have occasioned the development of several outstanding special collections, such as materials relating to Russia and Eastern Europe, East Asia, Latin America, and the History and Philosophy of Science.

Other special collections reflect the interest of past donors to the library, as well as growing teaching and research interests of the academic departments. Among these are: the Alldred Collection, designed for browsing and recreational reading; the Stark Listening Center, which contains recordings of English literature and drama, foreign languages, history, political science, and music, which in some instances

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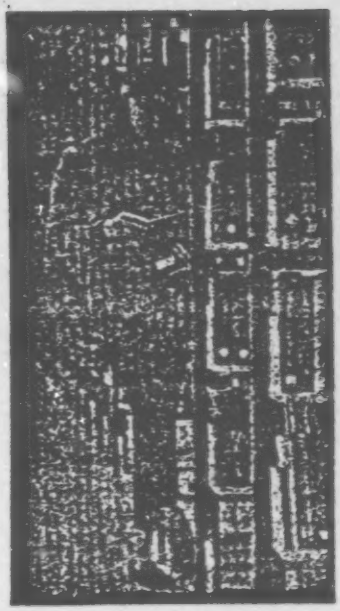
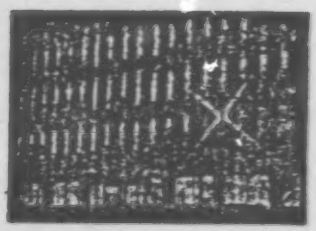


may be taken out on loan from the library or may be listened to through recording equipment in the building; the Curtis Theater collection, a gift of materials provided the University by a former faculty member with a special interest in the performing arts; plus growing collections of books, documents, journals, newspapers, pamphlets, and organizational records dealing with the Afro-American and, another new University research topic, the Archives of Industrial Society.

Beyond the collection and storage of these more or less traditional library materials, Hillman Library and its staff also offer extensive services to help improve the quality of teaching and learning in the academic community. The library's Communications Center loans or rents films for classroom use; creates original instructional materials or complete educational programs through graphics, film, television tape, or a combination of media; maintains facilities for reviewing such materials in the library; and provides electronic equipment for use in the classroom. Center aides are available to consult with faculty on the solution of teaching problems, and the center maintains its own library of film and equipment catalogues and related literature that help the teacher

or student locate a wide variety of media resources for course planning and development. Recently, the library also established an independent study center, where students can work in private carrels, making up missed lessons, reviewing course-work, or exploring new areas of knowledge through programmed instruction, audio cassettes, slides or filmstrips, and sound programs.



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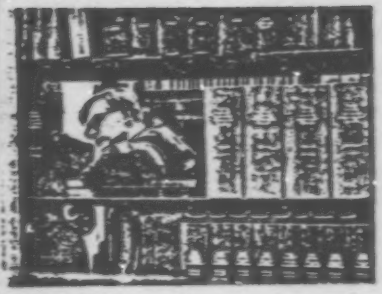
A Community Resource



Thus Hillman Library is the single most important educational resource on the University campus.

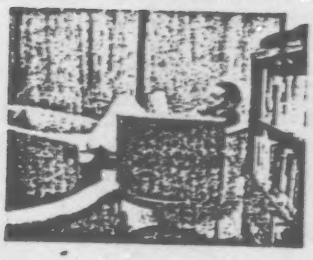
But, more than a campus resource, it is increasingly a community resource.

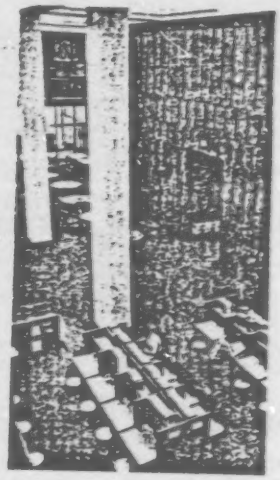
The facilities of Hillman are open, not only to the University's own faculty and students, but to University alumni, students and faculty at other academic institutions in the city, employees in area industry, staff at non-academic institutions such as hospitals, schools, boards of education, community service agencies, professional organizations, newspapers, television stations, and governmental bodies, and to students and faculty at regional colleges and universities outside the city.

Nearly 2,000 persons who were not either Pitt faculty members or students used Hillman Library last year alone. For example, "special user" cards were issued to more than 500 persons at Duquesne University and nearly 300 at Carnegie-Mellon University; 119 youngsters enrolled in federally-sponsored "Upward Bound" programs also took advantage of the library; there were nearly 400 alumni "special

users"; and among others were students and faculty from Bethany College (W. Va.), California State College, Slippery Rock, Waynesburg, Westminster, and Wheeling.

For all of these persons, Hillman Library clearly fills a need that cannot be met through other area collections of books and materials.





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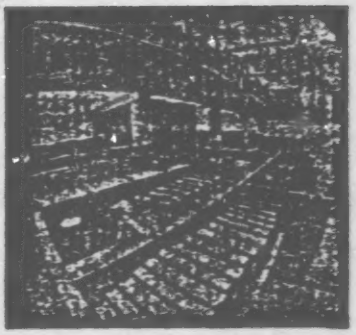
Improving the Collection



While the University's libraries are a considerable resource for the campus and the community, there exists an urgent need to upgrade collections and services. That need can be understood best from a historical perspective.

From the time the University of Pittsburgh established its Oakland campus in the 1920s until 1967, the main library was located in Pitt's famous Cathedral of Learning, an exceptional building, but not one particularly suited to the storage of books and access to them by library users.

The collections were spread over five floors. Space was inadequate. Several hundreds of thousands of volumes and documents had to be located in remote facilities rented elsewhere in the city. Collections generally reflected a low level of budget support over the years; periodic budget cutbacks in certain years had sliced even deeper into library acquisitions, creating chronological gaps in certain collections: (To this day, there are entire years missing from scholarly journal collections, for example).

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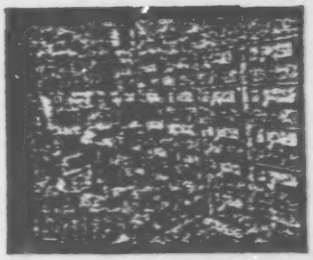

What's more, the library operated as a "closed stack" system: a user filled out a call slip at the main desk on the fifth floor, the slip was whisked by pneumatic tube to students working among the stacks on other floors, and the user received in return only the specific items requested, or a notice that they were not on the shelves — a not-infrequent occurrence.

In the 1960s, as the University began a concerted effort to achieve national distinction in the academic world, support for the library increased significantly, although space and facilities problems remained insurmountable.

The single most important event in the University libraries' history was the opening of the new main Hillman Library in 1967. With a capacity for 2,250,000 volumes, space problems were overcome, at least for some years ahead. Hillman is an "open stack" library: users locate the call numbers of desired materials in the main catalogue, then go themselves to the particular stacks where the materials are

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located. In the process, they have the opportunity to scan other publications dealing with the same or related subjects on adjoining shelves and stacks, an opportunity that can enrich significantly the research and scholastic effort.

In the five years since Hillman opened, the main library's book collection has increased from 587,000 volumes to 860,000 volumes; the number of microforms has gone up from 245,000 to 555,000.

Still, there is a great need to recover from the inadequacies of the past and to establish an adequate collection on which to build for the future. The head of the Hillman Library Acquisitions Department estimates that it will take more than one million dollars to buy missing back issues in the University's collection of periodicals, to fill in gaps in book collections for major departments of the University, and to acquire additional basic reference tools, such as biographical sources, language dictionaries, atlases, and newspaper indexes. These, she says, "are not just things it would be nice

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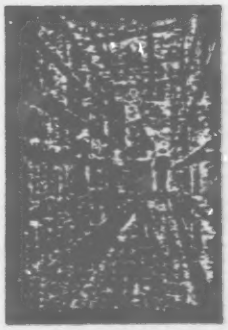
to have but are things students and scholars now present at the University actually need."

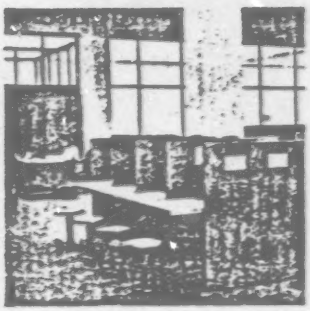
And, there are new pressures which require the University to make a further capital investment in its library at this time.

One problem common to all libraries is the tremendously accelerated pace at which new knowledge is being produced, knowledge that is reflected in a vast, new outpouring of published works.

The University also has experienced in recent years a significant increase in the number of its library users. From the period just prior to Hillman Library's opening to the present — a period marked by the development of the University's new Commonwealth relationship — enrollments have climbed from some 17,500 students in 1965 to nearly 32,000 today.

In the same period, new fields of study have entered the University curriculum. Some of the library's most urgent new needs reflect these efforts of society and the academic world





to cope with perceived problems through new modes of scholarship. The University currently is seeking collecticns in such subjects as the administration of justice, the history and philosophy of science, advanced industrial societies, women's studies, and the environment.

Finally, there have been changes in the kinds of materials that libraries need to have in order to maintain an adequate record of important activities in society. The modern library must be as up-to-date in its collection of underground newspapers or the mimeographed broadsheets of environmental groups as it is in the publications of the American Political Science Association.

Today, the University of Pittsburgh's collections rank 28th in total number of holdings among 78 members of the Association of Research Libraries. That is inadequate in comparison to the excellence the University has achieved in other areas and inadequate for its aspirations for academic distinction and community service.

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A Rational Approach

No library could even consider attempting to gather all of the world's knowledge within its collections or even any significant portion of it.

Since Gutenberg invented the printing press, it is estimated that some 30-million book titles have been published; the University of Pittsburgh libraries, as indicated, contain about five percent of that total. Currently, some 500,000 new books are issued each year; the University acquires about ten percent or less. In the field of scholarly journals and other periodicals, the world produces between 55,000 and 60,000 annually; Pitt subscribes to about 7,000 or approximately twelve percent.

How, then, does the University develop a rational approach to its collections, acquiring what it definitely needs to have within its own walls and avoiding costly duplication with other library facilities? Clearly it is to the advantage of the institution to apply its limited resources in the most efficient manner and to assure those who provide the University with financial support that such support is not wasteful.

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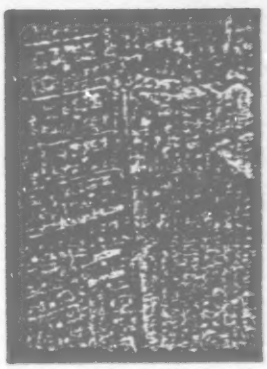
One answer is that the University does not try to acquire even all the material available within a given field. Each academic department of the University, as noted, tends to specialize in some particular aspect of an academic discipline. Anthropology at Pitt, for instance, emphasizes cultural anthropology, and so the major thrust of its library acquisitions will be in that aspect of anthropology rather than, say, archaeology. And even within cultural anthropology, Pitt scholars will have greater interest in the culture of the Indians of the southwest or Mexico rather than the aborigines of Australia, for example. The same would hold true in the international field; Pitt's collections will be stronger in East Asia rather than Southeast Asia or the South Pacific.



Today, because of the great proliferation of library materials, universities also are deeply concerned with "resource-sharing." Broadly speaking, this means using certain services in common — such as book acquisition and cataloguing, both of which are expensive — as well as sharing the materials eventually acquired.

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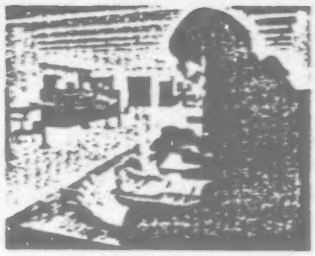

The University of Pittsburgh, for example, subscribes to a standard purchasing service shared by a number of libraries around the country. Rather than each library duplicating the costly process of analyzing which current titles it wishes to buy, each places a standing order with the service for all current books in English and German that meet a profile of the institution's particular academic interest. (More affluent libraries do the same thing for books published in Latin America or other areas of the world.) The service also allows the University to return up to ten percent of the purchases, so it doesn't wind up owning books that it doesn't absolutely need.

On a more local level, Pitt helped found the Pittsburgh Regional Library Center, a coalition of six academic and public libraries in the city, with 18 affiliated members from other area colleges and universities. The members exchange purchase information on all items costing one hundred dollars or more, so that each can analyze whether the items already are available in the region and may be shared.

Hillman Library also is a participant in the Chicago-based

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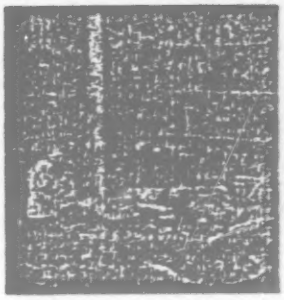
Center for Research Libraries, which has 59 university members and 44 associates worldwide. The center has a collection of nearly three million volumes of materials important for research which are not readily available in individual libraries and whose use can be shared.

Most recently, the University joined the Ohio College Library Center. This Center, servicing 39 institutions in 12 states from the Eastern Seaboard to Texas, maintains a computerized file of current titles listed in the Library of Congress catalogue and a record of which libraries that subscribe to the system carry which titles. The Center saves Hillman and other university libraries many thousands of hours of work, and many thousands of dollars, by automatically providing printed catalogue cards for all new acquisitions. Also, by telling where in the region certain materials already may be located — materials that might be used by Pitt faculty and students through inter-library loans — the Center's data help the University decide whether it needs to make certain acquisitions.



Not all duplication is unnecessary, however. Some library

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materials are used heavily enough to require that they be located on the campus, even though they may be available in other, nearby collections. Determining what to acquire is a highly sophisticated decision involving analysis of curriculum needs, the extent to which the material may be used, and its availability for use on a shared basis.

And "sharing" isn't the only way that libraries can become cost-efficient. Even Hillman Library, which still has unused capacity, looks toward the day when it may have to transfer some of its less-frequently-used materials to remote locations where they can be maintained less expensively and called back to the campus when a particular need for them develops.

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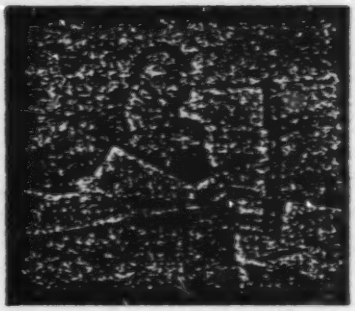
The Promise of the Computer



One instrument that can make a significant contribution to the problem of resource-sharing in libraries, as well as assist in the awesome task of helping scholars sift through the veritable mountains of printed material growing in every academic field, is the computer.

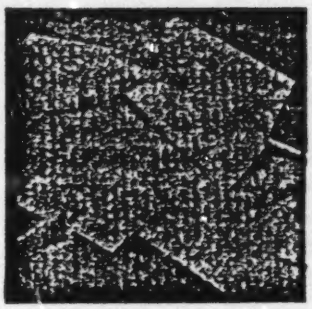
Hillman Library already is heavily automated, so that a record is kept on computer tape of every book (or other material) from the moment it arrives in the library as a new purchase, through its various loans to library users, and when it is taken off the shelf to be used by a faculty member in a research carrel or for such library services as rebinding.

A remote terminal in the Bevier Engineering Library connects it to the Hillman system, and in the near future librarians in that facility will be able to tap into information concerning the main library's collection so that an engineering student can determine where a needed book is located and whether it is available. Similar terminals may one day

serve scholars on many parts of the campus and may link up other university libraries both in Oakland and on the University's regional campuses.

Hillman's computerized records also are a source of data about the extent to which certain kinds of materials are used — information that may help the acquisitions department make intelligent decisions about new purchases, or assist library planners in deciding which parts of the collection might be stored in remote locations.

Services such as those offered by the Ohio Regional Library Center also may be expanded in the future into a nationwide, computerized inter-library record.



Already there are several important computerized indexes of research materials available on a national level which scholars can scan electronically to find bibliographies or abstracts that might be useful in their research.

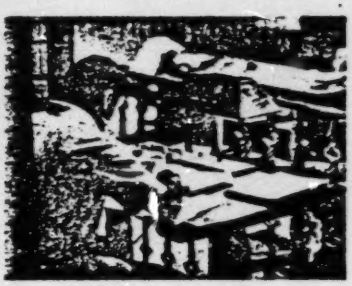
The University of Pittsburgh's Knowledge Availability Systems Center, and the Interdisciplinary Doctoral Program in Information Science, have pioneered in the development and study of these kinds of activities. KASC currently offers

industrial clients a service in which Center investigators regularly examine the computerized record of all publications around the world dealing with research sponsored by the National Aeronautics and Space Administration, or with research related to the nation's space effort, with an eye toward giving the clients leads to studies they may find useful to their own research. The Chemical Abstract Services and the National Library of Medicine maintain similar computerized files for use by professionals in those fields through remote access terminals.

Recently, Hillman Library, under KASC auspices, installed its first computer terminal link to a faraway index of resource material — the files of the *New York Times*. By querying the distant *Times* computer with key words and phrases, the user can receive a listing and abstract of all articles on file that may be related to the user's interests.

In 1970, KASC received National Science Foundation support for a ten-year program aimed at developing a coordinated "Campus-Based Information System." The goal of the system is to develop a "one-stop" information service that

would permit a user to gain access to all data that might be relevant to his or her needs, whether stored in a traditional library (and recorded on that library's computer system) or stored on a computerized data base, such as those of NASA, the Chemical Abstract Services, the National Library of Medicine, or the *New York Times*. As more and more resource material is made available in this form, as computers become an increasingly integral part of standard library operations, and as inter-library computer "networks" develop, such a system could be a tremendous boon both to scholars and to users of information in all parts of the community and society. Such a system would not supplant the need for traditional library materials — since, once references are located, the materials themselves might have to be acquired — but it would permit scholars and scientists to make their work more productive. Indeed, something like this may be essential just to cope with the vast quantities of human knowledge that are being generated in the twentieth century.



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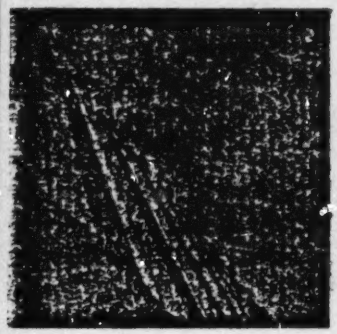
The Need

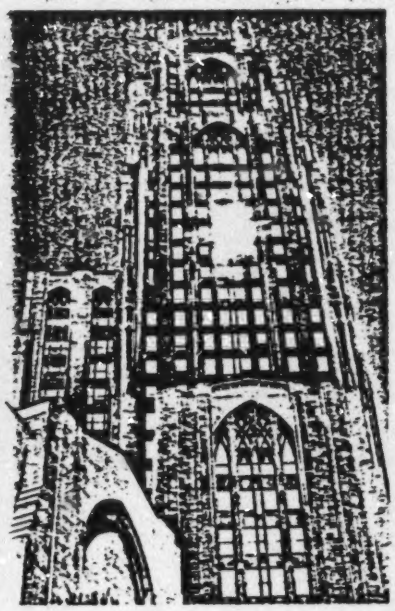


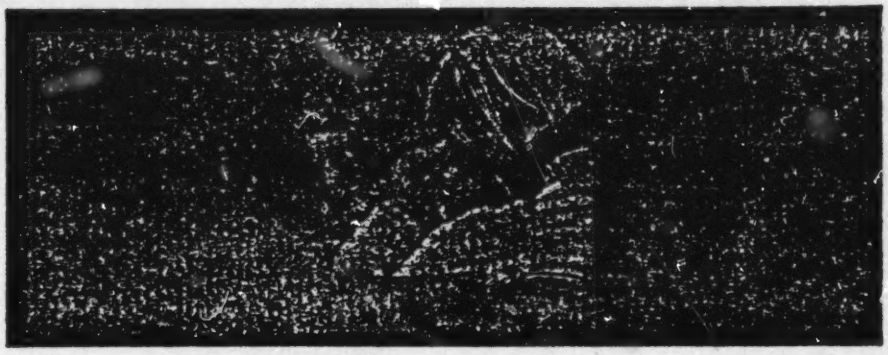
The University libraries' fund campaign for the 1970s, then, is in two parts:

- To close the gaps in the libraries' collections of periodicals, book collections, and reference works; and to acquire additional materials in support of both new and existing academic programs consistent with the quality of those programs — $2,000,000.
- To explore and develop the application of new information-handling tools, including the use of the computer, and to develop aspects of a proposed Campus-Based Information System — $500,000

TOTAL: $2,500,000

Recently, the University's fifteenth chancellor, Dr. Wesley W. Posvar, spoke of the opportunity for a creative partnership between the public and private sectors in the support of the University. "Pitt stands on the verge of greatness in a number of areas," he said. "This University, its faculty, and alumni have contributed much to our city and our society



in past decades and we are capable of equally great contributions in the areas we are now seeking to develop . . . . Funds for essential operations come from the Commonwealth of Pennsylvania. Support limited to specific programs comes from the Federal Government. Private fund-raising, then, can provide the dollars that cannot be provided by government or the student—*dollars that make the difference between an adequate educational institution and a great one.*"

The needs of the University of Pittsburgh libraries exemplify this partnership.